

	APPR	TF	()
	DRAFT	OC	()
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AID/PPC:OCARDUNER/PHENDE:EP:CABLER42002	CLEAR		()
12/3/1999 2-0581/2-4976			
AID/AA/PPC:TFOX	CLEAR		()
AID/DAA/PPC:DDIJKERMAN[CLEARED IN DRAFT]	AID/AFR:PDELP[CLEARED IN DRAFT]		
AID/M/B:JPAINTER[CLEARED IN DRAFT]	AID/LAC:VCUSUMANO[CLEARED IN DRAFT]		
AID/ANE/JBRESLAR[CLEARED IN DRAFT]	AID/G:KSCHOEFIELD[CLEARED IN DRAFT]		
AID/BHR:FALEJANDRO[CLEARED IN DRAFT]	AID/LPA:BBENNETT[CLEARED IN DRAFT] +		

PRIORITY AWIDE, RIGA PRIORITY,
 NAIROBI PRIORITY, KINSHASA PRIORITY

ADM AID FROM PPC, T. FOX, FOR MISSION DIRECTORS, USAID/W DIRECTORS

E.O. 12958: N/A

TAGS:

SUBJECT: FY 2002 RESULTS REVIEW AND RESOSURCE REQUEST [R4] GUIDANCE

THIS CABLE PROVIDES R4 GUIDANCE FOR THE FY 2002 R4 CYCLE. THIS GUIDANCE DOES NOT CONTAIN SIGNIFICANT CHANGES FROM LAST YEAR. INCREMENTAL CHANGES FROM LAST YEAR ARE NOTED IN SECTION I.A BELOW AND ARE A RESPONSE TO RECOMMENDATIONS THAT CAME OUT OF THE ASSESSMENT CONDUCTED BY PPC OF LAST YEAR'S R4 PROCESS. THE FOLLOWING SECTION-BY-SECTION TABLE OF CONTENTS IS PROVIDED TO FACILITATE USE OF THE CABLE:

SECTION:

- I. -- GENERAL INSTRUCTIONS
 - A. -- RESULTS OF THE R4 ASSESSMENT AND CHANGES FOR THIS YEAR
 - B. -- BUDGET OUTLOOK
 - C. -- MPP LINKAGE
 - D. -- CHANGES TO THE MANAGEMENT CONTRACT
 - E. -- WHO SHOULD SUBMIT
 - F. -- FORMATTING INSTRUCTIONS
 - G. -- SUBMISSION SCHEDULE & CONTACT POINTS
 - H. -- SUPPLEMENTAL REFERENCES
- II. -- R4 OUTLINE AND DRAFTING INSTRUCTIONS
 - A. -- COVER MEMO
 - B. -- R4 PART I: OVERVIEW
 - C. -- R4 PART II: RESULTS REVIEW
 - D. -- R4 PART III: RESOURCE REQUEST

- E. -- PROGRAM, WORKFORCE, OE, USDH, FSN SEPARATION & TRUST FUND, AND
CONTROLLER TABLES
- F. -- SPECIAL REPORTING SITUATIONS
- G. -- SUPPLEMENTAL INFORMATION ANNEXES

III. - BUREAU SPECIFIC GUIDANCE

- A. - AFR
- B. - ANE
- C. - E&E
- D. - LAC
- E. - G
- F. - BHR

IV. -- WASHINGTON R4 REVIEW PROCESS

I. GENERAL INSTRUCTIONS

A. RESULTS OF THE R4 ASSESSMENT AND CHANGES FOR THIS YEAR

PPC CONDUCTED AN ASSESSMENT OF THE STREAMLINED R4 PROCESS INITIATED LAST YEAR. FEEDBACK WAS OBTAINED FROM 27 MISSIONS, OVER 100 WASHINGTON STAFF, AND 15 PVO PARTNERS IN THE FIELD. IN SUM, THE EFFORT TO BRING THE COST OF THE R4 PROCESS MORE IN LINE WITH MANAGEMENT BENEFITS WAS SUCCESSFUL. THE NUMBER OF INDICATORS SUBMITTED BY OPERATING UNITS WAS REDUCED 40% FROM 3,443 TO 1,926, AND THE NUMBER OF PAGES OF R4 TEXT WAS REDUCED BY OVER HALF FROM ABOUT 12,000 TO 5,441 PAGES. THIS REDUCTION COMBINED WITH ELIMINATION OF SO RANKINGS, AND REDUCED INTENSITY OF PROGRAM REVIEWS, RESULTED IN A TIME SAVING OF 36 PERSON YEARS ON THE PART OF WASHINGTON STAFF REVIEWING R4 (AVERAGE TIME SPENT REVIEWING ONE SO DROPPED FROM 31 TO 10 PERSON DAYS).

GENERALLY, MOST USERS OF R4 INFORMATION CONCLUDED THAT THE AMOUNT PROVIDED THROUGH THE STREAMLINED PROCESS WAS ADEQUATE FOR THE PURPOSES INTENDED (BUDGET PREPARATION, REPORTING TO CONGRESS AND WASHINGTON-LEVEL PROGRAM MANAGEMENT). NO OPERATING UNIT SUGGESTED THAT THE AGENCY RETURN TO THE R4 PROCESS OF PREVIOUS YEARS. CONCERNS WERE RAISED WITH RESPECT TO HOW MORE DETAILED PROGRAM KNOWLEDGE AND INFORMATION SHOULD FLOW. SOME FIELD MISSIONS REQUESTED ADDITIONAL SPACE TO MORE FULLY REPORT PROGRAM EXPERIENCE AND PROGRESS, AND SOME WASHINGTON TECHNICAL STAFF EXPRESSED CONCERN AS TO HOW THEY WOULD OBTAIN SUFFICIENT INFORMATION FOR THEIR ANALYTICAL NEEDS. IN SUM, THE AGENCY SHOULD CONTINUE R4 STREAMLINING EFFORTS, WHILE SEEKING TOWAYS TO ADDRESS LEGITIMATE KNOWLEDGE MANAGEMENT CONCERNS. PART OF THIS CAN BE ACCOMPLISHED THROUGH ENCOURAGING OPERATING UNITS TO USE THEIR OWN R4 ANNEX TO PROVIDE ADDITIONAL INFORMATION, AND ENSURING THAT ALL OPERATING UNITS COMPLETE THE MANDATORY RESULTS FRAMEWORK ANNEX. OTHER EXCHANGES BEYOND THE R4 NEED TO BE ENCOURAGED AND SUPPORTED THROUGH A VARIETY OF INFORMAL MEANS. OPERATING UNITS ARE ENCOURAGED TO SHARE EXPERIENCES, BEST PRACTICES AND ANALYTICAL WORK WITH THEIR WASHINGTON TECHNICAL BACKSTOPS.

THE ASSESSMENT SHOWED THAT THE BULK OF OPERATING UNITS MADE SIGNIFICANT PROGRESS IN R4 STREAMLINING, AND THAT ADDITIONAL PROGRESS CAN BE MADE. THIRTY FIVE PERCENT OF OPERATING UNITS SUBMITTED R4S EARLY OR ON TIME (APRIL 1) WITH THE OVERWHELMING MAJORITY OF THOSE IN AFRICA. FIFTY NINE PERCENT OF OPERATING UNITS MET THE PAGE LIMIT ON SO NARRATIVE, AND FIFTY THREE PERCENT MET THE LIMIT ON INDICATORS. OPERATING UNITS WITH AN OVERALL OUTSTANDING RESPONSE ON ALL THREE OF THESE MEASURES INCLUDE JORDAN, MADAGASCAR, POLAND, SLOVAKIA, ECUADOR, AND PARAGUAY. A FEW OPERATING UNITS WERE SIX OR MORE WEEKS LATE AND SIGNIFICANTLY OVER LIMITATIONS ON BOTH PAGE LENGTH AND INDICATORS. THESE RESULTS WERE PRESENTED AND DISCUSSED WITH THE ADMINISTRATOR AND SENIOR STAFF. NEXT YEAR'S RESULTS WILL BE PRESENTED AS WELL. THE R4 ASSESSMENT REPORT IS AVAILABLE ON THE INTRANET AT WWW.USAID.GOV.

CHANGES TO THIS YEAR'S GUIDANCE ARE BASED ON RECOMMENDATIONS FROM OPERATING UNITS AND BUREAU STAFF. SEVERAL ARE AIMED AT MAKING IT EASIER FOR OPERATING UNITS TO COMPLY WITH THE GUIDANCE. THESE CHANGES INCLUDE:

-- R4 GUIDANCE IS TO BE ISSUED EARLIER AND PROVIDED ALL AT ONCE.

-- ALL GUIDANCE IS HEREBY CONSOLIDATED INTO THIS CABLE. BUREAU-SPECIFIC GUIDANCE IS INCLUDED, AND NO ADDITIONAL GUIDANCE IS PLANNED FOR THIS CYCLE. WHILE THE CABLE WILL APPEAR LONG, THE TOTAL LENGTH OF ALL WASHINGTON ISSUED R4 GUIDANCE HAS BEEN SIGNIFICANTLY REDUCED FROM 42 TO 24 PAGES.

-- BUREAUS HAVE COMMITTED TO PROVIDING RESPONSES TO ISSUES RAISED IN R4 COVER MEMOS AND ON THE R4 ITSELF WITHIN FOUR WEEKS OF INDIVIDUAL DOCUMENT REVIEW.

-- THIS YEAR THE SO RESULTS REVIEW NARRATIVE OF THE R4 WILL FOLLOW THE CONGRESSIONAL PRESENTATION FORMAT. THIS IS INTENDED TO STREAMLINE THE CP PREPARATION PROCESS.

-- IN RESPONSE TO A SPECIAL HILL REQUEST, OPERATING UNITS ARE ASKED TO PROVIDE DISAGGREGATED INFORMATION FOR HEALTH SOS FINANCED WITH THE CHILD SURVIVAL AND DISEASES FUND.

-- VOLUNTARY ANNEXES REQUESTED BY WASHINGTON IN LAST YEAR'S R4 GUIDANCE HAVE BEEN DELETED. A NEW VOLUNTARY ANNEX HAS BEEN ADDED ON PEOPLE-LEVEL SUCCESS STORIES TO HELP EXPLAIN OUR PROGRAMS TO A BROADER EXTERNAL AUDIENCE. MANDATORY ANNEXES MUST STILL BE COMPLETED.

-- OPERATING UNITS ARE STRONGLY URGED TO MEET THE LIMITATIONS ON PAGE LENGTH AND PERFORMANCE DATA TABLES, AND USE THEIR OWN ANNEX TO PROVIDE ADDITIONAL DETAILS THAT COULD NOT BE CONTAINED WITHIN THE PAGE LIMITS IF DEEMED NECESSARY.

-- ALL CURRENT OPERATING UNIT OBJECTIVES HAVE BEEN ASSIGNED A UNIQUE EIGHT DIGIT IDENTIFYING NUMBER, WHICH SHOULD BE INCLUDED AS HEADER INFORMATION FOR EACH OBJECTIVE AND ON EACH PERFORMANCE DATA TABLE RELATED TO THE OBJECTIVE.

-- THERE IS A NEW TABLE FOR AGENCY REPORTING ON THE SEPARATE AGENCY APPROPRIATION FOR THE CAPITAL INVESTMENT FUND.

-- AN OPTIONAL MICROSOFT WORD TEMPLATE HAS BEEN DEVELOPED AND WILL BE PROVIDED TO YOU THIS YEAR AS A PILOT EFFORT. THIS TEMPLATE WILL FACILITATE PREPARATION OF THE R4 DOCUMENT AND USE OF R4 INFORMATION FOR VARIOUS TYPES OF REPORTING BY WASHINGTON. IF THE PILOT IS SUCCESSFUL, THIS TEMPLATE MAY BE REQUIRED NEXT YEAR.

-- TO COMPLY WITH THE GPRA CONCEPT OF BENCHMARKING, MAKE EVERY EFFORT TO REPORT DATA USING THE SAME INDICATORS AS LAST YEAR UNLESS YOU STATED IN LAST YEAR'S R4 THAT YOU WOULD BE REPORTING DIFFERENT INDICATORS, OR UNLESS CIRCUMSTANCES PREVENT YOU FROM DOING SO (SEE I.D. BELOW).

B. BUDGET OUTLOOK

BUDGET LEVELS WILL REMAIN TIGHT WITH LITTLE OR NO INCREASE IN THE SUSTAINABLE DEVELOPMENT ACCOUNT OVER CURRENT APPROPRIATED LEVELS EXCEPT FOR INFLATION. DA FUNDING FOR THE CHILD SURVIVAL AND DISEASES ACCOUNT CAN ALSO BE EXPECTED TO REMAIN LEVEL OR INCREASE SLIGHTLY. MISSIONS AND CENTRAL OFFICES SHOULD INCLUDE FUNDING FOR CONGRESSIONAL DIRECTIVES AND ADMINISTRATION PRIORITIES. WE EXPECT DA FUNDING FOR ECONOMIC GROWTH AND DEMOCRACY ACTIVITIES, WITH THE EXCEPTION OF AGRICULTURE AND MICROENTERPRISE, TO BE SCARCE AND VERY COMPETITIVE. THE ADMINISTRATION CONTINUES TO SUPPORT POPULATION, ENVIRONMENT (SPECIFICALLY GCC), AND MICROENTERPRISE PROGRAMS. THE CONGRESS WILL SUPPORT FUNDING FOR CHILD SURVIVAL, HIV/AIDS (AS WILL THE ADMINISTRATION), INFECTIOUS DISEASES (INCLUDING BUT NOT LIMITED TO TB AND POLIO) AND BASIC EDUCATION, AS WELL AS AGRICULTURE, BIODIVERSITY AND MICROENTERPRISE.

WE CAN EXPECT CONGRESSIONAL DIRECTIVES, AND THEY SHOULD BE FULLY CONSIDERED WHEN PREPARING YOUR FY 2002 R-4S (THE LIST OF APPLICABLE DIRECTIVES ARE

AVAILABLE FROM YOUR REGIONAL PROGRAM OFFICES). WHEN PREPARING YOUR BUDGET REQUEST YOU NEED TO KEEP IN MIND THE IMPACT THAT PERFORMANCE HAS ON YOUR OVERALL REQUEST PER SECTION III B OF THIS CABLE. BUDGET LEVELS FOR FOOD PROGRAMS (P. L. 480 TITLE II) AND DISASTER ASSISTANCE PROGRAMS ARE EXPECTED TO REMAIN AT RECENT LEVELS.

AT THIS TIME WE ARE UNABLE TO PROVIDE GUIDANCE FOR ESF OR PROGRAMS FUNDED FOR EASTERN EUROPE AND THE FREEDOM SUPPORT ACT COUNTRIES. ADDITIONAL GUIDANCE ON OVERALL BUDGET LEVELS AND CONSTRAINTS FOR THESE ACCOUNTS WILL BE SENT EARLY NEXT YEAR.

IF YOU REQUIRE AN INCREMENT LEVEL FOR DA FUNDS PLEASE KEEP IN MIND THAT ANY REQUEST FOR ADDITIONAL FUNDING BEYOND THE GUIDELINES OUTLINED ABOVE MUST BE FOR NEW INITIATIVES PRIMARILY IN THE ECONOMIC GROWTH AND DEMOCRACY SECTORS. KEEP IN MIND THE CONSTRAINTS OUTLINED ABOVE IF YOU DO REQUEST ADDITIONAL FUNDING FOR INITIATIVES IN THOSE AREAS. FINALLY, ALTHOUGH WE ARE NOT REQUESTING THAT YOU PROVIDE US WITH A DECREMENT LEVEL AT THIS TIME YOU SHOULD BE THINKING ABOUT HOW REDUCED FUNDING, PARTICULARLY FOR OE AND STAFF, WILL AFFECT YOUR OVERALL PROGRAM LEVEL AS WELL AS THE LACK OF FLEXIBILITY IN SECTORS OTHER THAN ECONOMIC GROWTH AND DEMOCRACY. A DECREMENT FOR DA FUNDS WILL BE REQUIRED FOR NEXT SUMMER'S BPBS SUBMISSION.

C. MISSION PERFORMANCE PLAN (MPP) LINKAGE

R4 DOCUMENTS SHOULD IDENTIFY WHICH MPP GOAL AND NATIONAL INTEREST ARE SUPPORTED BY EACH USAID STRATEGIC OBJECTIVE, AND NOTE THAT THESE LINKAGES ARE CONSISTENT WITH MPPS. MPP GUIDANCE REQUIRES THAT EACH USAID OBJECTIVE BE DESCRIBED UNDER ONE PRIMARY MPP GOAL (SUPPORT TO SECONDARY GOALS CAN BE INDICATED). IN SOME CASES A CHOICE WILL HAVE TO BE MADE IN DETERMINING WHICH US STRATEGIC PLAN FOR INTERNATIONAL AFFAIRS (IASP) GOAL IS PRIMARY. USAID EDUCATION SOS MAY HAVE TO BE SOMEWHAT ARBITRARILY LINKED TO ONE PRIMARY MPP GOAL EVEN THOUGH THEY MAY BENEFIT MORE THAN ONE.

FIELD OPERATING UNITS ARE ENCOURAGED TO PURSUE INCREASED COORDINATION WITH STATE IN ORDER TO NOT ONLY REPORT USAID RESULTS IN THE MPP BUT ALSO TO ADVOCATE FOR ESF AND OTHER STATE RESOURCES IN THE MPP EQUIVALENT OF USAID'S RESOURCE REQUEST.

PPC/PC IS THE PRINCIPAL CONTACT POINT WITH STATE/RPP ON MPP/R4 COORDINATION AND WILL ASSIST IN ADDRESSING QUESTIONS THAT MAY ARISE RELATED TO GUIDANCE. THE BUREAUS WILL HAVE THE LEAD IN COORDINATING R4 AND MPP REVIEWS WITH THEIR STATE COUNTERPARTS.

D. CHANGES TO THE MANAGEMENT CONTRACT

GUIDANCE ON WHAT TYPES OF CHANGES TO THE MANAGEMENT CONTRACT REQUIRE WASHINGTON RATHER THAN FIELD LEVEL APPROVAL IS THE SAME AS LAST YEAR AND FOLLOWS.

1. CHANGES AT THE SO LEVEL: PER ADS SECTION E201.5.16D.1, OPERATING UNITS RESPONSIBLE FOR EXECUTING STRATEGIC PLANS HAVE AUTHORITY TO APPROVE MINOR CHANGES OR REFINEMENTS IN A SO. SIGNIFICANT CHANGES, HOWEVER, MUST BE FORMALLY APPROVED BY THE BUREAU AA WITH PPC, M, AND OTHER CLEARANCES. IF IN DOUBT, OPERATING UNITS ARE ADVISED TO CONSULT WITH THEIR BUREAU OR DP OFFICE. MINOR CHANGES SHOULD BE EXPLICITLY NOTED IN THE R4 COVER MEMO WITHOUT REQUESTING FORMAL APPROVAL. SIGNIFICANT CHANGES MUST BE REQUESTED IN THE R4 COVER MEMO (REFERENCING THE SUPPORTING INFORMATION REQUIRED PER ADS SECTIONS 201.5.10 PART II AND 201.5.14) AND APPROVED BY A MANAGEMENT CONTRACT CABLE.

2. CHANGES IN INTERMEDIATE RESULTS BELOW THE SO LEVEL: OPERATING UNITS HAVE THE AUTHORITY TO APPROVE CHANGES TO A RESULTS FRAMEWORK BELOW THE SO LEVEL. YOU ARE HOWEVER ENCOURAGED TO CONSULT VIA EMAIL WITH YOUR BUREAU BEFORE APPROVING CHANGES TO THE RESULTS FRAMEWORK. CHANGES SHOULD BE WELL DESCRIBED AND EXPLAINED IN THE R4 DOCUMENT AND REFLECTED IN THE RESULTS FRAMEWORK ANNEX.

3. PERFORMANCE MONITORING PLAN (PMP) REVISIONS: AS SPECIFIED IN LAST YEAR'S GUIDANCE, OPERATING UNITS SHOULD COMPLETE THE EFFORT TO WEED-OUT INDICATORS FROM THEIR PMP WHICH ARE NOT USEFUL FOR MANAGEMENT AT THE OU LEVEL. WORK WITH YOUR DEVELOPMENT PARTNERS IN THIS EXERCISE. OPERATING UNITS SHOULD REFER TO CDIE TIPS NO. 7 ON PREPARING A PERFORMANCE-MONITORING PLAN FOR SUPPLEMENTAL GUIDANCE.

4. LIMITS TO CHANGES IN INDICATOR REPORTING. TO COMPLY WITH THE GPRA CONCEPT OF BENCHMARKING, MAKE EVERY EFFORT TO REPORT THE SAME INDICATORS AS LAST YEAR UNLESS YOU NOTED LAST YEAR THAT YOU WOULD BE REPORTING DIFFERENT INDICATORS OR UNLESS CIRCUMSTANCES (SUCH AS DATA COLLECTION PERIODICITY) PREVENT YOU FROM DOING SO. LAST YEAR MISSIONS MAY NOT HAVE FORESEEN THAT AN ALTERNATIVE INDICATOR WOULD TELL A MORE ACCURATE STORY FOR THE FOLLOWING YEAR. THEREFORE, IF OPERATING UNITS FIND THAT AN ALTERNATIVE TO AN INDICATOR REPORTED LAST YEAR TELLS A MORE ACCURATE STORY PLEASE REPORT THE OLD INDICATOR AND ADVISE WHY IT'S NOT AS USEFUL AS THE ALTERNATIVE INDICATOR AND THEN REPORT AGAINST THE NEW INDICATOR (INCLUDING BASELINE DATA, TARGETS, AND ACCOMPLISHMENTS). NOTE IN THE COVER MEMO THAT YOU HAVE CHANGED INDICATORS. SIMILARLY, IF YOU PLAN TO USE A DIFFERENT INDICATOR NEXT YEAR (FY 2003 R4), YOU MUST ADVISE WASHINGTON OF THAT INDICATOR IN THIS R4, AND INCLUDE BASELINE AND TARGETS YOU WILL REPORT AGAINST.

E. WHO SHOULD SUBMIT

ALL OPERATING UNITS ARE REQUIRED TO SUBMIT COMPLETE R4S ANNUALLY UNLESS THEY DO NOT NEED PROGRAM FUNDS AND/OR OPERATING EXPENSE FUNDS AFTER THE CURRENT FISCAL YEAR.

NON-PRESENCE COUNTRIES WITH DEFINED COUNTRY-LEVEL STRATEGIC OR SPECIAL OBJECTIVES ARE ALSO SUBJECT TO R4 REPORTING.

F. ELECTRONIC FORMAT AND PERFORMANCE DATA TABLES

THE FOLLOWING STANDARDIZED FORMAT INSTRUCTIONS ARE AIMED AT ALLOWING MORE RAPID AND EFFICIENT DISTRIBUTION OF R4 SECTIONS TO APPROPRIATE REVIEWERS FOR VARIOUS EXTERNAL AGENCY REPORT PREPARATION (E.G., CP, APP, APR). SUBMIT BOTH HARD AND ELECTRONIC COPIES OF YOUR DOCUMENT. DO NOT COMPRESS OR ZIP FILES UNLESS USING THE NEW R4 TEMPLATE. AVOID THE USE OF GRAPHICS. DO NOT SEND PASSWORD-PROTECTED DOCUMENTS. PREPARE NARRATIVES USING 12-POINT TIMES NEW ROMAN TYPEFACE. FORMAT YOUR DOCUMENT FOR PRINTING ON 8.5 BY 11 PAPER.

TO FACILITATE R4 PREPARATION AND TO STANDARDIZE PROCESSING, ACCESS AND RETRIEVAL OF R4 DATA, WE HAVE CREATED AN R4 PREPARATION TEMPLATE. USE OF THIS TEMPLATE IS OPTIONAL BUT ENCOURAGED. EXAMPLES OF THE TEMPLATE CAN BE VIEWED ON THE CDIE WEBSITE AT [HTTP://CDIE.USAID.GOV/R4_2002/](http://CDIE.USAID.GOV/R4_2002/). OPERATING UNITS THAT DECIDE TO USE THE TEMPLATE MAY DOWNLOAD A BLANK COPY FROM THE SAME WEBSITE, OR, BY NOTIFYING CDIE AT [INTERNET\[R4TEMPLATE@DEC.CDIE.ORG\]](mailto:INTERNET[R4TEMPLATE@DEC.CDIE.ORG]), A VERSION PRE-POPULATED WITH YOUR LAST YEAR'S R4 AND THIS YEAR'S BOILERPLATE WILL BE SENT TO YOU WITHIN 2 TO 3 WORKING DAYS.

FEATURES OF THE TEMPLATE: 1) A 'MASTER DOCUMENT' AUTOMATICALLY CONSOLIDATES SEPARATE FILES FOR NARRATIVE, ANNEXES AND DATA FILES INTO A SINGLE DOCUMENT; 2) TEXT FROM THIS GUIDANCE CABLE WILL BE AVAILABLE WITHIN THE TEMPLATE AS 'HELP' [F1 FUNCTION KEY]; 3) HELPS ENSURE THAT ALL YOUR 'BOILERPLATE' IS INCLUDED; 4) MULTI-USER: FROM A CENTRAL LOCATION ON YOUR LAN, MULTIPLE USERS WORK ON DIFFERENT SECTIONS SIMULTANEOUSLY; 5) THE TEMPLATE GENERATES A TABLE OF CONTENTS AUTOMATICALLY WITH CORRECT PAGINATION; 6) DROP-DOWN MENUS ALLOW YOU TO CHOOSE APPROPRIATE RESPONSES TO CERTAIN ELEMENTS IN THE SO DESCRIPTION AND DATA TABLES.

QUESTIONS REGARDING THE TEMPLATE MAY BE SUBMITTED TO [INTERNET\[R4TEMPLATE@DEC.CDIE.ORG\]](mailto:INTERNET[R4TEMPLATE@DEC.CDIE.ORG]).

ALL ELECTRONIC SUBMISSIONS ARE TO USE A STANDARD FILE NAMING CONVENTION. THE FILENAMES FORMATS ARE:

COUNTRY02FULLR4 - THIS FILE WILL CONTAIN THE FULL MICROSOFT WORD TEXT OF THE DOCUMENT, INCLUDING COVER MEMO, RESULTS REVIEW NARRATIVE, PERFORMANCE DATA TABLES, RESOURCE REQUEST NARRATIVE AND SUPPLEMENTAL ANNEXES. EXCEL FILES INCLUDING THE PROGRAM, WORKFORCE, OE, USDH, FSN SEPARATION & TRUST FUND, AND CONTROLLER TABLES MUST ACCOMPANY THIS DOCUMENT (SEE BELOW FOR NAMING CONVENTION). THE FULL DOCUMENT WILL NOT BE SHARED WITH PARTNERS AND THE PUBLIC. EXAMPLE: BOLIVIA02FULLR4. THE G ENVIRONMENT CENTER WOULD BE G_ENV02FULLR4.

COUNTRY02COVER -- THIS FILE WILL CONTAIN THE COVER MEMO.

COUNTRY02R2A - THIS FILE WILL CONTAIN ONLY THE RESULTS REVIEW NARRATIVE AND PERFORMANCE DATA TABLES; AS IT IS INTENDED FOR PUBLIC ACCESS, IT MUST NOT, REPEAT, NOT, INCLUDE THE COVER MEMO, OR ANY PORTION OF THE RESOURCES REQUEST. IT MUST ALSO EXCLUDE ANY REFERENCES TO "PRE-DECISIONAL" BUDGET INFORMATION. THIS FILE WILL BE MADE AVAILABLE ON THE EXTERNAL USAID WEB SITE. EXAMPLE: BOLIVIA02R2A

COUNTRY02R2B - THIS FILE WILL CONTAIN THE NARRATIVE PORTION OF THE RESOURCE REQUEST. THIS SECTION WILL CONTAIN PROPRIETARY INFORMATION AND IS NOT FOR PUBLIC USE. EXAMPLE: BOLIVIA02R2B

COUNTRY02R2B_TYPE OF DATA - THESE FILES WILL CONTAIN SPREADSHEETS CONSISTING OF PRE-FORMATTED BUDGET TABLES IN EXCEL. EXAMPLE: BOLIVIA02R2B_OE

COUNTRY02GFS - EXCEL FILE CONTAINING THE G BUREAU FIELD SUPPORT TABLE.

COUNTRY02ANNEXZZZ - FOR OPERATING UNITS SENDING "SPECIAL ANNEXES" (SEE SECTION II.F), PLEASE SEND A SEPARATE FILE FOR EACH "SPECIAL ANNEX". USE AN OBVIOUS CODE FOR EACH ANNEX TOPIC IN THE FILENAME TO FACILITATE IDENTIFICATION. EXAMPLE: BOLIVIA02ANNEXS01 OR BOLIVIA02ANNEXENV. ANNEXES FOR NON-PRESENCE COUNTRIES SHOULD FOLLOW THE NAMING CONVENTIONS ABOVE (EXAMPLE: FRANCE02FULLR4, ETC.).

DO NOT ASSIGN AN EXTENSION TO THESE FILES; ALLOW THE SOFTWARE APPLICATION TO AUTOMATICALLY ASSIGN THE EXTENSION FOR THAT SOFTWARE APPLICATION SO USAID/W CAN IDENTIFY THE TYPE OF FILE SUBMITTED. THESE FILE FORMATS WILL BE INCLUDED ON THE MICROSOFT WORD TEMPLATE TO FACILITATE R4 PREPARATION IF YOU CHOOSE TO USE IT.

POLICY NOTICE NO. 19 OF OCT 19, 1998, REVISING ADS SECTION 210.5.16E REQUIRES THE FOLLOWING WORDING ON THE TITLE PAGE OF EACH R4. THIS SECTION IS AUTOMATICALLY GENERATED IN THE MICROSOFT WORD TEMPLATE:

BEGIN LANGUAGE

- THE ATTACHED RESULTS INFORMATION IS FROM THE FY XXXX RESULTS REVIEW AND RESOURCE REQUEST (R4) FOR (COUNTRY OR OU) AND WAS ASSEMBLED AND ANALYZED BY (USAID/OU).

- THE R4 IS A "PRE-DECISIONAL" USAID DOCUMENT AND DOES NOT REFLECT RESULTS STEMMING FROM FORMAL USAID REVIEWS. ADDITIONAL INFORMATION ON THE ATTACHED CAN BE OBTAINED FROM (WASHINGTON CONTACT PERSON AND OFFICE MAKING THE DISTRIBUTION).

- RELATED DOCUMENT INFORMATION CAN BE OBTAINED FROM:

USAID DEVELOPMENT EXPERIENCE CLEARINGHOUSE
1611 N. KENT ST., SUITE 200
ARLINGTON, VA. 22209-2111
TELEPHONE: 703-351-4006 EXT. 106
FAX: 703-351-4039
EMAIL: INTERNET[DOCORDER@DEC.CDIE.ORG].
INTERNET: HTTP://WWW.DEC.ORG

END LANGUAGE

FULL R4S SHOULD BE SUBMITTED TO YOUR WASHINGTON PROGRAM OFFICE OR THE OFFICE DESIGNATED IN SECTION III BELOW 'BUREAU SPECIFIC GUIDANCE', AND TO THE USAID DEVELOPMENT EXPERIENCE CLEARINGHOUSE USING THE FOLLOWING EMAIL ADDRESS: INTERNET[DOCSUBMIT@DEC.CDIE.ORG]. THE R2A AND ANNEXES MUST ALSO BE SENT AS SEPARATE FILES TO THE DEVELOPMENT EXPERIENCE CLEARING HOUSE AT THE SAME ADDRESS.

SHOULD THE OPERATING UNIT RECEIVE REQUESTS FOR ANY R4 DOCUMENTS FROM ANY OFFICE OR INDIVIDUAL OTHER THAN THE PROGRAM OFFICE, THAT REQUEST IS TO BE REFERRED TO THE PROGRAM OFFICE. THE PROGRAM OFFICE WILL BE RESPONSIBLE FOR DISTRIBUTING HARD COPY VERSIONS OF THE DOCUMENT. THE R2A, CONSISTING OF THE RESULTS REVIEW NARRATIVE AND PERFORMANCE DATA TABLES, CAN BE FOUND ON THE USAID WEB SITE: [HTTP://WWW.CDIE.USAID.GOV](http://www.cdie.usaid.gov). FULL FILE VERSIONS OF THE R4 MAY BE REQUESTED BY USAID EMPLOYEES ONLY FROM THE DEVELOPMENT EXPERIENCE CLEARINGHOUSE AT THE FOLLOWING EMAIL ADDRESS: INTERNET[DOCORDER@DEC.CDIE.ORG].

ON 7/1/00 THE FY 2002 R2AS WILL BE MADE AVAILABLE ON THE AGENCY'S EXTERNAL WEB SITES AT [HTTP://WWW.DEC.ORG/PARTNERS](http://www.dec.org/partners).

G. SCHEDULES AND CONTACT POINTS

UNLESS OTHERWISE ADVISED BY YOUR REGIONAL BUREAU, ALL R4S ARE TO BE SUBMITTED BY APRIL 1, 2000. BUREAU R4 CONTACT POINTS ARE INCLUDED IN THE BUREAU SPECIFIC GUIDANCE IN SECTION III. QUESTIONS YOU SEND TO YOUR BUREAU CONTACTS MAY BE FORWARDED TO PPC TO BE POSTED ON THE PPC R4 FAQs WEB PAGE ([WWW.CDIE.USAID.GOV](http://www.cdie.usaid.gov)). CASES OF CONFLICTING OR UNCLEARED SUPPLEMENTARY GUIDANCE SHOULD BE REPORTED TO OLIVIER CARDUNER, PPC/PC, FOR RESOLUTION (SEE II.G. BELOW).

REVIEW SCHEDULE: ALL R4S ARE REVIEWED EVERY YEAR. SOME OPERATING UNITS WILL GET AN INTENSIVE PROGRAM REVIEW WITH OPERATING UNIT PARTICIPATION. BUREAUS WILL ADVISE OPERATING UNITS WHICH PROGRAMS WILL BE SCHEDULED FOR FORMAL PROGRAM REVIEWS IN FY 00 AND THE SCHEDULE FOR THOSE REVIEWS. THE INTENT CONTINUES TO BE TO HOLD SUCH REVIEWS ONLY WHEN NEEDED BUT NOT LESS THAN ONCE EVERY THREE YEARS.

H. SUPPLEMENTAL REFERENCES

THE FOLLOWING INFORMATION ON R4 PREPARATION WILL BE MADE AVAILABLE THROUGH YOUR BUREAU CONTACT, THE INTRANET WEB PAGE AT [HTTP://WWW.CDIE.USAID.GOV/](http://www.cdie.usaid.gov/). PARTNERS WILL BE ABLE TO ACCESS R4 GUIDANCE AND RELATED SUPPORT MATERIALS AT THE FOLLOWING EXTERNAL WEB SITE: [HTTP://WWW.DEC.ORG/PARTNERS](http://www.dec.org/partners).

1. CDIE TIPS NUMBER 12 - GUIDELINES FOR INDICATOR AND DATA QUALITY.
2. CDIE TIPS NUMBER 7 - PREPARING A PERFORMANCE-MONITORING PLAN
3. CDIE TIPS NUMBER 8 - ESTABLISHING PERFORMANCE TARGETS
4. MICROSOFT WORD TEMPLATE FOR R4 PREPARATION (USE IS OPTIONAL BUT ENCOURAGED)
5. INDICATOR PERFORMANCE DATA TABLE MACROS (PERFORMANCE DATA TABLE CAN ALSO BE DOWNLOADED FROM THE PPC/CDIE WEBSITE, "CDIE ONLINE"; [HTTP://CDIE.USAID.GOV](http://cdie.usaid.gov))
6. R2B PROGRAM BUDGET, WORKFORCE AND USDH TABLES WITH EXPLANATIONS
7. FIELD SUPPORT TABLE
8. LIST OF ALL CURRENTLY ACTIVE OPERATING UNIT OBJECTIVE ID NUMBERS.
9. POLICY ON DESCRIPTION AND USE OF THE CHILD SURVIVAL AND DISEASES FUND.

II. R4 OUTLINE AND DRAFTING INSTRUCTIONS

USE OF THE R4 TEMPLATE WILL FACILITATE PREPARATION OF THIS SECTION. PLEASE NOTE PAGE LENGTH LIMITS FOR EACH SECTION. YOU ARE STRONGLY URGED TO STAY WITHIN THE PRESCRIBED PAGE LIMITS AND MAKE USE OF ANNEXES FOR ADDITIONAL INFORMATION AS DESCRIBED IN II.G.

A. COVER MEMO: (1-2 PAGES.) USED, AT OPERATING UNIT'S OPTION AND DISCRETION, TO IDENTIFY MANAGEMENT OR RESOURCE ISSUES NEEDING SPECIFIC USAID/W ACTION/RESOLUTION. INCLUDE THIS SECTION IN COUNTRY02COVER AND COUNTRY02FULLR4

ADDRESS CRITICAL ISSUES OR CHANGING CIRCUMSTANCES THAT MAY ALTER THE MANAGEMENT CONTRACT SUCH AS SIGNIFICANT EVENTS THAT MAY AFFECT VIABILITY OF ONE OR MORE SOS, STAFFING ADJUSTMENTS, UNUSUAL RESOURCE REQUESTS, AND RELATED WASHINGTON FOLLOW-UP ACTIONS. ALSO USE THIS MEMO PER GUIDANCE IN I.D. ABOVE TO DESCRIBE CHANGES MADE TO PERFORMANCE MONITORING PLANS CONSISTENT WITH SECTIONS I.A. AND I.D. ABOVE. FOR OPERATING UNIT ADJUSTMENTS TO THE SO PLAN AND RESULTS FRAMEWORK, NOTE WHICH OBJECTIVES OR IRS HAVE BEEN SELECTED FOR CLOSEOUT OR TERMINATION FOR PERFORMANCE REASONS. THIS R4 COVER MEMO IS NOT INTENDED FOR USE OUTSIDE THE AGENCY.

REGIONAL BUREAUS WILL RESPOND TO ISSUES RAISED IN THE COVER MEMO WITHIN 4 WEEKS OF REVIEWING THE R4 UNLESS OTHER ARRANGEMENTS ARE MADE WITH THE OPERATING UNIT.

B. R4 PART I: OVERVIEW AND FACTORS AFFECTING PROGRAM PERFORMANCE (UP TO 3 PAGES). INCLUDE THIS PART OF THE R2A IN THE FILES: COUNTRY02FULLR4 AND COUNTRY02R2A

REQUIREMENTS FOR THIS SECTION HAVE NOT CHANGED, BUT ARE LIMITED TO THAT NECESSARY FOR PERFORMANCE ASSESSMENT OF SPECIFIC SOS AND LINKAGE TO HIGHER LEVEL AGENCY AND MPP GOALS. THE OPERATING UNIT SHOULD INCLUDE: SUMMARY PROGRESS IN IMPLEMENTING THE CURRENTLY APPROVED STRATEGIC PLAN; SIGNIFICANT CHANGES THAT WOULD CAUSE YOU TO PROPOSE A CHANGE TO OR ELIMINATE AN OBJECTIVE OR THAT ACCOUNT FOR POOR PERFORMANCE (CRISIS/CONFLICT, ETC.); MOST SIGNIFICANT PROGRAM ACHIEVEMENTS, REGARDLESS OF THE LEVEL, SO OR INTERMEDIATE RESULTS (IR); COUNTRY FACTORS THAT HAVE MOST INFLUENCED PROGRESS; OVERALL PROSPECTS FOR PROGRESS THROUGH THE BUDGET REQUEST YEAR, INCLUDING OPERATING UNIT ACTIONS TO OVERCOME FACTORS IMPEDING PROGRESS; PROSPECTS FOR SUCCESSFUL CLOSEOUT OR GRADUATION, PARTICULARLY FOR PROGRAMS THAT WILL CLOSE DURING OR IMMEDIATELY FOLLOWING THE R4 REPORTING PERIOD. OPERATING UNITS SHOULD INCLUDE HERE DISCUSSIONS OF THE U.S. NATIONAL INTERESTS AND GOALS THAT ESTABLISHED THE CONTEXT FOR THE DEVELOPMENT OF THE EMBASSY'S MPP AND THE LINKAGES OF OPERATING UNIT SOS TO THE MPP.

OPERATING UNITS SCHEDULED TO EXIT BY FY 2000 TO 2002 ARE REQUESTED TO PROVIDE INFORMATION ON PROGRAM CLOSEOUT OR GRADUATION. BUILDING ON APPROVED OR DRAFT CLOSEOUT PLANS, USE THE R4 TO CONVEY EXPECTED PROGRESS ACROSS THE PERIOD LEADING TO CLOSEOUT. REINFORCE YOUR DISCUSSION OF EXPECTED PROGRESS AND MANAGEMENT ACTIONS WITH THE FOLLOWING: (1) ASSESSMENT OF REALISTIC PROSPECTS FOR ACHIEVING EACH OBJECTIVE WITHIN THE REMAINING TIMEFRAME; (2) MANAGERIAL AND RESOURCE ADJUSTMENTS TO REINFORCE PROSPECTS FOR SUCCESS; (3) MECHANISMS FOR ADVANCING SUSTAINABILITY; AND (4) STATUS OF CLOSEOUT PLAN PREPARATION, APPROVAL OR IMPLEMENTATION. FINALLY, IF THIS IS THE OPERATING UNIT'S LAST R2, MISSIONS SHOULD PROVIDE A SUMMARY OF THE ACHIEVEMENTS OF THE ASSISTANCE PROGRAM.

C. R4 PART II: RESULTS REVIEW BY SO: (UP TO 3 PAGES OF TEXT PLUS UP TO 4 PERFORMANCE DATA TABLES PER SO RESULTS FRAMEWORK). INFORMATION PROVIDED HERE WOULD BE THE BASIS OF CP NARRATIVE. INCLUDE THIS PART OF THE R2A IN THE FILES: COUNTRY02FULLR4 AND COUNTRY02R2A

FORMATTING GUIDANCE: TO FACILITATE SUBSEQUENT USE OF THIS SECTION FOR THE CONGRESSIONAL PRESENTATION, USE THE FOLLOWING FORMAT HEADINGS: HEADER, MISSION SELF ASSESSMENT, SUMMARY, KEY RESULTS, PERFORMANCE AND PROSPECTS, POSSIBLE ADJUSTMENT TO PLANS, OTHER DONOR PROGRAMS, AND MAJOR CONTRACTORS AND GRANTEEES. THE INFORMATION IN THE ABOVE FORMAT HEADINGS SHOULD INCLUDE:

- HEADER: EACH SO NARRATIVE SHOULD BEGIN WITH THE HEADER CONTAINING THE FOLLOWING INFORMATION: OPERATING UNIT NAME; SO NAME; AND THE 8-DIGIT USAID/W ASSIGNED SO NUMBER. OPERATING UNITS THAT REQUEST A PRE-POPULATED TEMPLATE FROM

CDIE WILL HAVE THESE AID/W ASSIGNED SO NUMBERS ENTERED FOR THEM IN THE TEMPLATE. UNITS THAT DO NOT REQUEST A PRE-POPULATED TEMPLATE WILL BE FURNISHED WITH A COMPREHENSIVE LIST OF SO NUMBERS. TO SUBMIT A REQUEST FOR A PRE-POPULATED TEMPLATE, SEND AN E-MAIL TO : INTERNET[R4TEMPLATE@DEC.CDIE.ORG]. OTHERS CAN OBTAIN THE SO NUMBERS FROM BUREAU PROGRAM OFFICES AND AT: HTTP://CDIE.USAID.GOV.

- OPERATING UNIT SELF-ASSESSMENT: ONE OF THE FOLLOWING UNAMBIGUOUS STATEMENTS MUST REPEAT MUST BE USED TO BEGIN THIS SECTION - ON-TRACK, EXCEEDING, OR NOT MEETING - FOLLOWED BY APPROPRIATE NARRATIVE.

- SUMMARY: BEGIN THE SUMMARY WITH A DESIGNATION OF (1) THE PRIMARY LINK OF THE SO TO AN AGENCY OBJECTIVE AND (2) THE PRIMARY LINK TO THE MPP GOAL. ONE OR MORE SECONDARY LINKS TO AGENCY OBJECTIVES AND MPP GOALS MAY ALSO BE STATED. EXPLAIN WHAT THE OPERATING UNIT IS TRYING TO ACHIEVE WITH THIS SO USING A CONCISE STATEMENT-OF-CHANGE PLANNED AT THE SO LEVEL OVER THE LIFE OF THE SO, PRINCIPAL INTERMEDIATE RESULTS NECESSARY TO ACHIEVE THE SO, AND ULTIMATE CUSTOMERS. BRIEFLY EXPLAIN MIXED PERFORMANCE SOS IF APPROPRIATE. THIS SUMMARY SHOULD REFLECT THE DESCRIPTION OF THE OBJECTIVE THAT IS NEEDED FOR THE CONGRESSIONAL PRESENTATION.

FOR ONLY THOSE OBJECTIVES FUNDED BY A MIXTURE OF CHILD SURVIVAL AND OTHER ACCOUNTS, THE TEXT WILL IDENTIFY WHICH ACTIVITIES ARE BEING FUNDED WITH WHICH FUNDS. THE ACTIVITIES FUNDED MUST BE CONSISTENT WITH USAID POLICY (GUIDANCE ON THE DEFINITION AND USE OF CHILD SURVIVAL AND DISEASE PROGRAM FUND). THIS CAN BE DONE IN TWO SENTENCES. FOR EXAMPLE, "USAID WILL USE CS FUNDS TO INCREASE IMMUNIZATION COVERAGE; PREVENT AND TREAT DIARRHEAL DISEASES; COMBAT CHILD MALNUTRITION BY BREASTFEEDING; PROPER WEANING AND MICRONUTRIENT SUPPLEMENTATION IMPROVE MATERNAL HEALTH SERVICES; PREVENT AND CONTROL MALARIA, AND OTHER INFECTIOUS DISEASES; AND BUILD HIV/AIDS AWARENESS AND SOCIAL MARKETING OF CONDOMS FOR HIV/AIDS PREVENTION. USAID WILL USE DA/dfa FUNDS TO PROVIDE QUALITY FAMILY PLANNING AND RELATED REPRODUCTIVE SERVICES, PARTICULARLY THROUGH THE INTEGRATION OF SERVICES INTO COMMUNITY-BASED AND OUTREACH PROGRAMS." MOST OBJECTIVES WILL NOT BE LISTING AS MANY ITEMS AS THE CASE IN THE EXAMPLE. THE POLICY GUIDANCE ON ACCEPTABLE USES OF CHILD SURVIVAL FUNDS WILL BE POSTED SHORTLY ON WWW.CDIE.USAID.GOV. DRAFTS ARE CURRENTLY AVAILABLE UPON REQUEST FROM JOYCE HOLFELD, PPC, AND/OR JOY RIGGS-PERLA, G/PHN. QUESTIONS ON THIS MATTER SHOULD BE ADDRESSED TO THE SAME PERSONS.

- KEY RESULTS: SIGNIFICANT CHANGES (POSITIVE OR NEGATIVE) ON THREE-TO-FOUR INDICATORS SELECTED BY THE OPERATING UNIT IN LAST YEARS R4 (SEE SECTION I.D.4) SHOULD BE DISCUSSED. THE ACHIEVEMENT OF INDICATOR TARGETS IS NOT NECESSARILY EQUIVALENT TO THE ACHIEVEMENT OF RESULTS, SO TEXT SHOULD BE CLEAR REGARDING HOW ACHIEVEMENTS IN THE SELECTED INDICATORS DEMONSTRATE THAT RESULTS ARE BEING ACHIEVED. FOCUS ON RESULTS WHERE CHANGE HAS BEEN MOST MEANINGFUL: THE SO, PRINCIPAL IRS, AND/OR LOWER-LEVEL IRS. AS APPROPRIATE, HIGHLIGHT RESULTS THAT EXEMPLIFY THE AGENCY'S COMMITMENT TO ADDRESSING GENDER. YOU ARE REQUESTED TO USE SUMMARY OUTPUT DATA IF HIGHER LEVEL RESULTS DATA IS NOT AVAILABLE OR INCOMPLETE. NOTE WHEN MORE FORMAL, LARGER SCALE, EVALUATIONS CONTRIBUTED TO YOUR OVERALL ASSESSMENT. FOR OBJECTIVES THAT HAVE BEEN FUNDED BY BOTH THE CHILD SURVIVAL AND DISEASE FUND AND OTHER ACCOUNTS, DISCUSSION OF RESULTS MUST BE DISAGGREGATED BY SOURCE OF FUNDING. THESE INSTRUCTIONS SHOULD NOT BE READ AS IMPLYING A NEED TO RESTRUCTURE RESULTS FRAMEWORKS OR INDICATORS.

- PERFORMANCE AND PROSPECTS: PERFORMANCE OVER THE PAST YEAR RELATIVE TO TARGETS: HIGHLIGHT AND EXPLAIN SIGNIFICANT DIFFERENCES BETWEEN PLANNED AND ACTUAL PERFORMANCE FOR THE SO IN GENERAL. AS APPROPRIATE, EXPLICITLY ADDRESS GENDER IN THE ANALYSIS OF PROGRAM PERFORMANCE. WHEN DISCUSSING PROGRAM PERFORMANCE, OPERATING UNITS SHOULD PROVIDE INFORMATION (QUALITATIVE OR QUANTITATIVE) WHICH GIVES A SENSE OF USAID'S RELATIVE ROLE AND CONTRIBUTION TO OVERALL PERFORMANCE OVER THE PAST YEAR (ATTRIBUTION). IT IS IMPORTANT TO AVOID APPEARING TO CLAIM AS OUR OWN RESULTS THAT ARE LARGELY BASED ON EFFORTS OF OTHERS. DISCUSS LONGER-TERM SO PERFORMANCE TRENDS AND CUSTOMER FEEDBACK WHEREVER IMPORTANT TO PROVIDE PERSPECTIVE ON RECENT PROGRESS.

EXPECTED PERFORMANCE THROUGH THE BUDGET REQUEST YEAR, INCLUDING ANTICIPATED BENCHMARK ACHIEVEMENTS (AND/OR THE MOST IMPORTANT BREAKTHROUGH NECESSARY FOR USAID TO HAVE AN IMPACT ON THE SO) AND OUTLOOK FOR PROGRESS ON SOS AND KEY I.R.'S THAT HAVE NOT MET EXPECTATIONS. IN TERMS OF PROSPECTS, IDENTIFY CRISIS OR CONFLICT ISSUES THAT MIGHT AFFECT PERFORMANCE OVER THE BUDGET REQUEST YEAR IF APPROPRIATE.

THE OPERATING UNIT SHOULD INDICATE WHAT WILL FAIL TO BE ACHIEVED SHOULD REQUESTED FUNDING NOT BE FORTHCOMING, BUT PLEASE DO SO WITHOUT REFERENCING "PRE-DECISIONAL" BUDGET LEVELS IN THE RESULTS REPORTING SECTION OF YOUR R4.

INDICATE HOW THE OPERATING UNIT IS MANAGING FOR RESULTS SUCH AS HOW PERFORMANCE ASSESSMENT HAS LED TO THE MODIFICATION OF AN ACTIVITY OR RESULT.

- POSSIBLE ADJUSTMENT TO PLANS: CITE FACTORS SUCH AS OPERATING UNIT PROGRAM ADJUSTMENTS, CHANGED POLICY ENVIRONMENT, AND RECENTLY RESOLVED ISSUES. REPORT ON POTENTIAL CRISIS OR CONFLICT ISSUES. NOTE IN A SENTENCE OR TWO, NEW KEY ACTIVITIES LIKELY TO BE FUNDED BY USAID, IF ANY.

- OTHER DONOR PROGRAMS: SINCE RESULTS AT THE SO LEVEL NORMALLY REFLECT THE EFFORTS OF MULTIPLE PARTNERS, OPERATING UNITS MUST REPORT THE NATURE AND EXTENT OF THE SUBSTANTIVE (NOT FINANCIAL) CONTRIBUTION OF OTHER DONORS TO USAID SOS AND A SENSE OF THE EXTENT TO WHICH SO RESULTS CAN BE ATTRIBUTED TO THE HOST COUNTRY AND OTHER DONORS. THIS WILL PROVIDE CONTEXT TO USAID'S RELATIVE CONTRIBUTION TO CHANGE.

- MAJOR CONTRACTORS AND GRANTEES: NOTE IN A SENTENCE OR TWO, THE KEY ACTIVITIES BEING FUNDED BY USAID, AND THE PRINCIPAL CONTRACTORS, GRANTEES OR AGENCIES IMPLEMENTING THE ACTIVITY.

IF YOU FEEL THE NEED TO GO BEYOND THE 3-PAGE LIMIT FOR THIS SECTION TO PROVIDE ADDITIONAL INFORMATION ON A PARTICULAR SO FOR A SPECIFIC TARGET AUDIENCE, YOU MAY APPEND TO THE R4 DOCUMENT AN INFORMATION ANNEX FOR THAT PURPOSE AS EXPLAINED IN II.F. BELOW. THE INTENDED TARGET AUDIENCE SHOULD BE NOTED AT THE TOP OF THE ANNEX. INFORMATION PROVIDED IN SUCH AN ANNEX WILL NOT BE USED BY USAID/W TO AUGMENT THE PERFORMANCE ASSESSMENT OF AN SO IN THE RESULTS REVIEW PORTION OF THE R4.

TO COMPLETE THE RESULTS REVIEW PORTION OF THE R4, PLEASE SUPPLY PERFORMANCE DATA TABLES ON UP TO FOUR PERFORMANCE INDICATORS, WITH BASELINES AND TARGETS TO 2002, PER SO RESULTS FRAMEWORK. DO NOT REPORT MULTIPLE INDICATORS IN THE SAME TABLE. REPORTED DATA SHOULD BE SEX-DISAGGREGATED WHENEVER PERTINENT. USE OF THE "COMMENT" SECTION OF EACH DATA TABLE TO ELABORATE ON THE INTERPRETATION OF THE REPORTED DATA -- PARTICULARLY TO ADD QUALITATIVE INTERPRETATION TO QUANTITATIVE DATA AND QUANTITATIVE SIGNIFICANCE TO QUALITATIVE DATA --AND THE DEGREE TO WHICH ACHIEVEMENT OF A TARGET IS ATTRIBUTABLE TO USAID. USE THE COMMENT SECTION TO PROVIDE CONTEXT. FURTHER INCLUSIONS TO THE COMMENT SECTION ARE: WHETHER AND HOW THE OPERATING UNIT ASSESSED THE RELIABILITY OF PERFORMANCE DATA PROVIDED BY OTHERS (E.G., CONTRACTORS, HOST GOV.), PLANS TO VERIFY AND VALIDATE PERFORMANCE DATA, AND SIGNIFICANT DATA LIMITATIONS AND THEIR IMPLICATIONS FOR MEASURING PERFORMANCE RESULTS AGAINST ANTICIPATED PERFORMANCE TARGETS. DO NOT USE THE COMMENT SECTION TO DESCRIBE PERFORMANCE.

D. R4 PART III: RESOURCE REQUEST: (2 PAGES OF TEXT. RESOURCE TABLES ADDITIONAL.) THIS IS THE NARRATIVE PORTION OF THE R2B AND MUST BE INCLUDED IN COUNTRY02FULLR4 AND COUNTRY02R2B

THIS SECTION SHOULD CONTAIN:

- A BRIEF RATIONALE FOR PROGRAM RESOURCE LEVEL AND SO ALLOCATIONS, INCLUDING REASONS FOR SIGNIFICANT INCREASES/DECREASES IN OYB/CP LEVELS ESTABLISHED ON THE BASIS OF THE PAST YEAR'S R4.

- DISCUSS WAYS IN WHICH PERFORMANCE INFLUENCED RESOURCE DECISIONS, ESPECIALLY FOR SOS NOT MEETING EXPECTATIONS AND REPEAT POOR PERFORMERS;

- DISCUSS THE RELATIONSHIP OF THE PROGRAM REQUEST TO OE AND STAFFING REQUIREMENTS, INCLUDING "CRITICAL" STAFFING REQUIREMENTS AND JUSTIFICATION FOR RESOURCE REQUESTS (PROGRAM FUNDS, WORKFORCE, OR OE) THAT EXCEED BUREAU-ASSIGNED CONTROL LEVELS.

- PROVISION WILL BE MADE FOR ONLY ONE LEVEL FOR FY2001 AND ONE LEVEL FOR FY 2002 BASED ON A STRAIGHT-LINE OF USDH LEVELS (WHICH WOULD BE PROVIDED SEPARATELY). OE BUDGETS WILL REFLECT FUNDING REQUIRED TO SUPPORT TARGET US DIRECT-HIRE WORK-FORCE LEVELS. WHILE NO CONTROLS ON DOLLAR AMOUNTS ARE BEING PROVIDED, OPERATING UNITS SHOULD KEEP IN MIND THE CONSTRAINTS FACING THE AGENCY IN OBTAINING OE FUNDING WHEN PREPARING THEIR BUDGETS. A NARRATIVE EXPLAINING CHANGES IN COSTS FROM YEAR TO YEAR MUST BE PROVIDED IF THE CHANGE FOR AN OBJECT CLASS (OC) IS FIVE- PERCENT OR MORE (INCREASE OR DECREASE). OPERATING UNITS DO NOT HAVE TO EXPLAIN EACH RESOURCE CATEGORY CODE UNDER THE OC, JUST THE OC.

- FOR EACH SO, EXPLAIN ANY INCONSISTENCIES BETWEEN PIPELINE LEVELS AS OF SEPTEMBER 30, 1999, AND AGENCY FORWARD FUNDING GUIDELINES PRESENTED IN ADS SECTION 602 THAT PIPELINES SHOULD COVER 12-TO-24 MONTHS OF PLANNED EXPENDITURES, I.E., OBLIGATIONS GENERALLY SHOULD FUND PROJECTED EXPENDITURES THROUGH THE END OF THE FISCAL YEAR FOLLOWING THE YEAR IN WHICH FUNDS ARE OBLIGATED. DESCRIBE ANY CORRECTIVE ACTION BEING TAKEN, AND PROVIDE A BRIEF DESCRIPTION OF HOW PIPELINE LEVELS PROJECTED THROUGH THE PLANNING PERIOD WILL BE CONSISTENT WITH THE FORWARD FUNDING GUIDELINES.

- THE AGENCY IS REQUESTING A CAPITAL INVESTMENT FUND, AS A SEPARATE AGENCY APPROPRIATION, FOR FY 2001 TO BE USED TO COVER THE COST OF MAJOR CAPITAL INVESTMENTS IN REAL PROPERTY AND INFORMATION TECHNOLOGY. OPERATING UNITS ARE NOT TO BUDGET FOR CAPITAL INVESTMENT REQUIREMENTS UNDER THE OE BUDGET, BUT ARE TO SUBMIT THE NEW TABLE, COUNTRY02R2B_CIF, INSTEAD FOR THESE COSTS. ITEMS TO BE INCLUDED UNDER THE CIF SCHEDULE FOR FY 2001 AND FY 2002 ARE: ALL COSTS FOR PURCHASE/CONSTRUCTION OF REAL PROPERTY OFFICE/WAREHOUSE/ RESIDENTIAL, OTHER), INCLUDING A&E COSTS; COSTS ASSOCIATED WITH THE PURCHASE/INSTALLATION OF SECURITY IMPROVEMENTS IF MORE THAN \$10,000 IN THE PARTICULAR FISCAL YEAR OF THE OPERATING UNIT; COSTS ASSOCIATED WITH THE PURCHASE/DESIGN OF INFORMATION TECHNOLOGY HARDWARE OR SOFTWARE IF MORE THAN \$10,000 IN THE PARTICULAR FISCAL YEAR FOR THE OU; COSTS ASSOCIATED WITH RENOVATION OF OFFICE/WAREHOUSE/RESIDENTIAL SPACE SOFTWARE IF MORE THAN \$10,000 IN THE PARTICULAR FISCAL YEAR FOR THE OU. A SHORT NARRATIVE IS REQUIRED EXPLAINING 1) WHAT THE FUNDING IS FOR AND WHY IT IS REQUIRED AND 2) THE IMPACT ON OPERATING UNIT/AGENCY OPERATIONS IF FUNDING IS NOT RECEIVED AND WHAT STEPS THE OPERATING UNIT WILL HAVE TO TAKE IN THE ABSENCE OF FUNDING.

- INCLUSION OF G FIELD SUPPORT TABLE (COUNTRY02GFS.XLS). USE THIS TABLE TO LIST SERVICES TO BE PROVIDED THROUGH G-MANAGED CONTRACTS, COOPERATIVE AGREEMENTS AND GRANTS, WITH A HIGH-SIDE ESTIMATE OF THE LEVEL OF RESOURCES NEEDED TO FULLY FUND THESE SERVICES. THE TABLE PROVIDES A DISTINCTION FOR: (A) FUNDS THAT ARE PART OF THE UNIT'S PLANNING LEVEL, BUT DESIGNATED FOR OBLIGATION AND MANAGEMENT BY THE G BUREAU; AND (B) FUNDS THAT ARE PART OF THE UNIT'S PLANNING LEVEL AND OYB AND OBLIGATED OR SUBOBLIGATED BY THE UNIT THROUGH G BUREAU MECHANISMS (UNIT OBLIGATION, GENERALLY REFERRED TO AS BUY-IN). IN ADDITION, PLEASE SPECIFY THE FOLLOWING IN THE FIELD SUPPORT TABLE: (1) THE SO FOR WHICH THESE SERVICES ARE NEEDED, (2) THE NAME AND NUMBER OF THE G BUREAU ACTIVITY TO BE USED, (3) THE LEVEL OF PRIORITY THE UNIT PLACES ON THE FIELD SUPPORT AND BUY-IN SERVICES, (4) THE DURATION OF THE FIELD SUPPORT AND BUY-IN SERVICES; AND (5) THE NAME OF THE ENTITY OBLIGATING THE FUNDS--G OR OPERATING UNIT. FOR FY 2001 AND FY 2002, OPERATING UNITS SHOULD THINK CREATIVELY ABOUT AND DESCRIBE IN A FOOTNOTE WHAT TYPES OF SERVICES ARE NEEDED, EVEN IF THE G BUREAU DOES NOT APPEAR TO HAVE AN EXISTING MECHANISM AT THE PRESENT TIME.

E. PROGRAM, WORKFORCE, OE, USDH, FSN SEPARATION & TRUST FUND, AND CONTROLLER. THIS IS PART OF R2B TO BE INCLUDED WITH THE FILES: COUNTRY02FULLR4 AND COUNTRY02R2B_DATA

REFER TO THE FOLLOWING PRIOR TO PREPARING BUDGETS TO ENSURE YOU COMPLY WITH AGENCY POLICY: OPERATING UNITS MUST PAY PARTICULAR ATTENTION TO THE GUIDANCE ON FORWARD FUNDING FOR OE AS 1) IT IS CONSIDERABLY DIFFERENT FROM GUIDANCE FOR PROGRAM FUNDS AND 2) IT IMPLEMENTS MAJOR CHANGES FROM CURRENT PROCEDURES AND WILL DEFINITELY IMPACT ON FUNDING REQUIREMENTS FOR MISSIONS AND THOSE ORGANIZATIONS HAVING OE FUNDED CONTRACTS (PSC OR OTHER). REFER TO: ADS 601 ON FUNDING SOURCES; AGENCY NOTICE ON OBJECT CLASS CODES AND RESOURCE CATEGORIES; AGENCY NOTICE (ANTICIPATED TO BE ISSUED IN LATE DECEMBER OR EARLY JANUARY) ON FORWARD FUNDING GUIDELINES FOR OE.

THERE ARE SEVEN BASIC DATA SUBMISSION REQUIREMENTS FOR PROGRAM, WORKFORCE AND OPERATING EXPENSES:

1) BUDGET REQUEST BY PROGRAM/COUNTRY (TABLE COUNTRY02R2B_SO#.XLS). BREAKS OUT EACH SO BY THE AGENCY'S GOAL/STRATEGY AREAS INCLUDING A SPLIT BETWEEN BILATERAL AND FIELD SUPPORT REQUIREMENTS. THESE TABLES MUST BE FILLED OUT FOR EACH OF FYS 2000 TO 2002 INCLUDING TARGETS.

2) WORKFORCE (TABLE COUNTRY02R2B_WF.XLS USED BY EACH OPERATING UNIT IN WASHINGTON AND OVERSEAS), SHOWING THE DISTRIBUTION OF THE VARIOUS TYPES OF WORKFORCE (END OF YEAR ON-BOARD LEVELS) BY SO/SPO AND BY MANAGEMENT CATEGORIES. TOTALS MUST BE IN WHOLE NUMBERS;

3) USDH STAFFING REQUIREMENTS (TABLE COUNTRY02R2B_DH.XLS USED BY EACH OPERATING UNIT IN WASHINGTON AND OVERSEAS), SHOWING THE NUMBERS OF USDH IN EACH BACKSTOP EXPECTED BY END OF YEAR FY 2000 AND REQUESTS FOR FY 2001 - FY 2003. THE PURPOSE OF THIS TABLE IS TO HELP THE AGENCY MAKE THE NECESSARY RECRUITMENT DECISIONS TO ENSURE WE HAVE THE RIGHT MIX OF SKILLS ON BOARD. THESE DATA ARE NECESSARY AND SIGNIFICANT IN THE DEVELOPMENT OF THE FY 2001 FOREIGN SERVICE RECRUITMENT PLAN. NOTE THAT THE OCCUPATIONS AND BACKSTOPS ARE LISTED IN A DIFFERENT ORDER THIS YEAR. PARTICULARLY FOR OUT-YEARS, THE REQUESTS SHOULD MATCH THE FUNCTIONS OF THE POSITION WITHOUT REGARD TO THE BACKSTOP OF THE INCUMBENT.

4) OPERATING EXPENSES (TABLE COUNTRY02R2B_OE.XLS USED BY OVERSEAS OPERATING UNITS AND TABLE--USED BY WASHINGTON OPERATING UNITS), SHOWING THE PROPOSED USE OF OE AND TRUST FUND RESOURCES BY RESOURCE CATEGORY FOR THE FY 99 ESTIMATE, FY 2000 AND FY 2001 TARGET AND REQUEST LEVELS. FOR OVERSEAS OE TABLES, IDENTIFY THE U.S. DOLLARS USED FOR LOCAL CURRENCY PURCHASES AND THE EXCHANGE RATE USED IN COMPUTATIONS.

5) TRUST FUND AND FSN VOLUNTARY SEPARATION PAYMENT/WITHDRAWAL INFORMATION (TABLE COUNTRY02R2B_TFFSN.XLS USED ONLY BY OVERSEAS OPERATING UNITS) SHOWING A) AVAILABILITY OF LOCAL CURRENCY TRUST FUNDS AND B) DEPOSITS TO AND WITHDRAWALS FROM THE FSN VOLUNTARY SEPARATION ACCOUNT. PLEASE NOTE THAT IF AN OVERSEAS UNIT SHOWS OBLIGATIONS UNDER OBJECT CLASS 12.1 ON THE OE TABLE FOR FSN VOLUNTARY SEPARATION (FSN DIRECT HIRE OR FSN PSC), THEN THE FSN VOLUNTARY SEPARATION PORTION OF THIS TABLE MUST BE SUBMITTED. THE OE TOTALS ON THIS TABLE MUST MATCH THE TOTAL FSN VOLUNTARY SEPARATION AMOUNTS FOR FSN DIRECT-HIRE AND FSN PSCS ON THE OE TABLE. ALSO, EXCHANGE RATES USED IN COMPUTING THE DOLLAR EQUIVALENT OF LOCAL CURRENCY TRUST FUNDS MUST BE PROVIDED--THIS INFORMATION IS REQUIRED TO BE INCLUDED IN THE AGENCY'S CONGRESSIONAL PRESENTATION.

6) CONTROLLER OPERATIONS (TABLE COUNTRY02R2B_CO.XLS). THIS IS IN THE SAME FORMAT AS THE OVERSEAS OE TABLE, BUT IS TO REFLECT ONLY THOSE COSTS ASSOCIATED WITH THE OFFICE OF THE CONTROLLER AT OVERSEAS MISSIONS.

7) CAPITAL INVESTMENT FUND REQUIREMENTS (TABLE COUNTRY02R2B_CIF.XLS). SAME FORMAT AS THE OE TABLE WITHOUT NON-APPLICABLE RCCS.

SEPARATE SPECIAL SCHEDULES WILL BE PROVIDED TO M, G, GC, AND LPA FOR THEIR "ADMINISTRATIVE EXPENSE COST CENTER" BUDGET ACCOUNTS.

M/B WILL ISSUE FY 2000 OE AND U.S. DIRECT-HIRE WORKFORCE LEVELS TO BUREAUS (INCLUDING LEVELS AVAILABLE FOR OVERSEAS MISSIONS), FY 2001 TARGETS, AND FY 2002 TARGETS AS SOON AS DECISIONS ARE MADE.

F. SPECIAL REPORTING SITUATIONS

1. G BUREAU FIELD SUPPORT

THE DEVELOPMENT IMPACT OF GLOBAL BUREAU FIELD SUPPORT (SERVICES AND COMMODITIES REQUESTED AND FUNDED BY OPERATING UNITS) WILL BE CAPTURED AND REPORTED IN OPERATING UNIT STRATEGIC OBJECTIVES IN THE RESULTS REVIEW PORTION OF THE R4. SEE SECTION D. ABOVE FOR THE DISCUSSION OF THE FIELD SUPPORT TABLE.

2. BHR PROGRAMMED RESOURCES

TO HELP MEET CONGRESSIONAL REPORTING REQUIREMENTS FOR TITLE II AND TITLE III RESOURCES, THE FOLLOWING INFORMATION SHOULD BE INCLUDED IN R4 DOCUMENTS:

-- INTEGRATED PROGRAMS: IN CASES WHERE TITLE II/III AND DOLLAR-FUNDED ACTIVITIES ARE INTEGRATED TO SUPPORT ONE OR MORE STRATEGIC OR SPECIAL OBJECTIVES, THE SO PERFORMANCE AND PROSPECTS SECTION OF THE NARRATIVE MUST INCLUDE A BRIEF DESCRIPTION OF THE CONTRIBUTION AND EFFECTIVENESS OF PL-480 RESOURCES TO ENHANCED FOOD SECURITY IN THE COUNTRY USING APPROPRIATE QUANTIFIABLE INDICATOR DATA FROM THE PERFORMANCE MONITORING PLAN. BHR/FFP HAS AN ILLUSTRATIVE LIST OF INDICATORS FOR THIS PURPOSE AND CAN ADVISE, IF NECESSARY, ON WHICH ONE OF YOUR EXISTING INDICATORS WOULD WORK BEST.

THE SO PERFORMANCE AND PROSPECTS SECTION OF THE NARRATIVE CONTAINED IN THE R4 WILL FORM THE BASIS OF THE AGENCY'S PERFORMANCE ASSESSMENT FOR INTEGRATED PROGRAMS. BHR REVIEW OF PREVIOUSLY APPROVED ACTIVITY (PAA) SUBMISSIONS WILL CONTINUE.

COOPERATING SPONSORS (CS) AND OPERATING UNIT SO TEAMS ARE EXPECTED TO WORK TOGETHER IN REVIEWING THE UTILITY AND COST/BENEFIT OF PERFORMANCE INDICATORS FOR THE ENTIRE SO INCLUDING INDICATORS USED BY TITLE II SPONSORS AS SPECIFIED IN PRIOR AGREEMENTS. AGREEMENT ON ELIMINATION OF CS INDICATORS WILL BE CONFIRMED THROUGH PAA REVIEWS WITH OPERATING UNIT INPUTS, THROUGH OTHER CONSULTATIONS WITH OPERATING UNITS AND BHR/FFP, AND IF NECESSARY, THROUGH GRANT OR COOPERATIVE AGREEMENTS AMENDMENTS.

-- STAND-ALONE PROGRAMS: WHEN NON-EMERGENCY TITLE II AND TITLE III RESOURCES DO NOT CONTRIBUTE DIRECTLY TO A STRATEGIC OR SPECIAL OBJECTIVE, OPERATING UNITS ARE ASKED TO INCLUDE A SPECIAL INFORMATION ANNEX TO THE R4 PER SECTION II.G BELOW WHICH ADDRESSES IN 1-2 PAGES THE FOLLOWING INFORMATION: (1) THE CONTRIBUTION OF THESE RESOURCES TO FOOD SECURITY IN THE COUNTRY; AND (2) THE EFFECTIVENESS OF THE PROGRAMS SUPPORTED WITH THESE RESOURCES IN ACHIEVING RESULTS AGREED UPON IN THE RELEVANT DEVELOPMENT ACTIVITY PROPOSAL (DAP). THE CS REPORTS ON TITLE II ACTIVITIES SHOULD BE REFERENCES IN THE ANNEX PROVIDED DIRECTLY TO BHR/FFP IN ADDITION TO THE OPERATING UNITS. BHR/FFP WILL USE THIS INFORMATION, ALONG WITH PAA SUBMISSIONS, TO MAKE FOOD RESOURCE ALLOCATION DECISIONS. AGREEMENT ON ELIMINATION OF CS INDICATORS WILL BE CONFIRMED THROUGH PAA REVIEWS WITH OPERATING UNIT INPUTS, THROUGH OTHER CONSULTATIONS WITH OPERATING UNITS AND BHR/FFP, AND IF NECESSARY, THROUGH GRANT OR COOPERATIVE AGREEMENTS AMENDMENTS.

-- OTHER PROGRAMS: BHR WILL REPORT ON TITLE II EMERGENCY, DISASTER AND TRANSITION ASSISTANCE (IDA) RESULTS AND RESOURCE NEEDS, AND MAY CONTACT RELEVANT OPERATING UNITS FOR ASSISTANCE IN DOING SO. BHR WILL ALSO REPORT ON PVC GRANTS TO STRENGTHEN THE CAPACITY OF USAID'S PVO AND CDO PARTNERS AS WELL AS ASHA GRANTS.

3. CLOSEOUT AND GRADUATION

IN KEEPING WITH APPROVED CLOSEOUT PLANS, IF NOT PREVIOUSLY REPORTED OR IF THERE ARE CHANGES IN WHAT WAS PREVIOUSLY REPORTED, PLEASE REPORT THE FOLLOWING

IN A SPECIAL INFORMATION ANNEX PER SECTION II.G BELOW: (1) BRIEF SCHEDULE FOR TERMINATION OF PRINCIPAL ACTIVITIES; AND (2) RECOMMENDATIONS TO CONTINUE SELECTED ACTIVITIES AFTER CLOSEOUT WITH RELATED RATIONALE AND PLAN (ON AN EXCEPTION BASIS).

G. SUPPLEMENTAL INFORMATION ANNEXES

AS NOTED IN II.C. ABOVE, OPERATING UNITS THAT DESIRE TO PROVIDE ADDITIONAL INFORMATION ON SO PERFORMANCE OR PROGRAM RELATED MATTERS BEYOND THE R4 PAGE LENGTH LIMITS ARE ENCOURAGED TO USE AN ANNEX FOR THIS PURPOSE. INFORMATION REPORTED HERE WILL NOT BE USED FOR EVALUATING PROGRAM PERFORMANCE.

BUREAUS ARE REQUESTING ADDITIONAL REPORTING FOR PURPOSES OTHER THAN ASSESSING COUNTRY SO PERFORMANCE (SUCH AS REGIONAL TREND ANALYSIS, REPORTING ON MULTI-COUNTRY INITIATIVES, AND SPECIAL EXTERNAL REPORTING NEEDS THAT MAY VARY YEAR-TO-YEAR). THIS REPORTING WILL BE PROVIDED THROUGH MANDATORY SUPPLEMENTAL ANNEXES SO AS TO FOCUS THE MAIN R4 TEXT ON PERFORMANCE VIS-A-VIS AGREED UPON STRATEGY OBJECTIVES. TO KEEP THESE REQUIREMENTS CLEAR AND LIMITED, PPC AND THE R4 WORKING GROUP DO NOT APPROVE REQUESTS NOT INCLUDED IN THIS CABLE. ANY SUCH REQUEST SHOULD BE REPORTED TO OLIVIER CARDUNER PPC/PC FOR RESOLUTION WITH THE WORKING GROUP.

OF THE ANNEXES DESCRIBED BELOW, ONLY TWO ARE MANDATORY FOR ALL R4S. THESE CAN BE COMPLETED IN NO MORE THAN THREE TO FOUR PAGES. ANOTHER FIVE ANNEXES ARE MANDATORY FOR CERTAIN OPERATING UNITS ONLY (TITLE II SUPPLEMENTARY PERFORMANCE DATA REQUIRED BY BHR IN SECTION II.F.2 ABOVE, NON-PRESENCE COUNTRY REPORTING, E&E, GCC IMPLEMENTERS, GREATER HORN OF AFRICA RELATED PROGRAMS). THE VOLUNTARY ANNEXES OF LAST YEAR HAVE BEEN REMOVED, BUT A NEW ONE HAS BEEN ADDED ON SUCCESS STORIES.

MICRO-ENTERPRISE REPORTING: INSTRUCTIONS WILL BE SENT BY SEPTTEL TO ALL OPERATING UNITS FOR REPORTING ON MICROENTERPRISE ACTIVITIES. THIS IS A STANDARD REQUEST THAT SERVES TO GENERATE THE AGENCY'S ANNUAL MICROENTERPRISE REPORT FOR CONGRESS AND THE MICROENTERPRISE COMMUNITY.

SECURITY PROFILES: INSTRUCTIONS WILL BE SENT BY SEPTTEL TO ALL OPERATING UNITS FOR REPORTING ON GENERAL SECURITY PROFILES AT RESPECTIVE OVERSEAS LOCATIONS FOR DETERMINING ANTICIPATED SECURITY NEEDS AND COMMENSURATE OE REQUIREMENTS FOR THE COMING BUDGET YEAR.

1. MANDATORY FOR ALL OPERATING UNITS

INFORMATION ANNEX TOPIC: ENVIRONMENTAL IMPACT

REQUESTED BY: BUREAU ENVIRONMENT OFFICERS AND PROGRAM OFFICES.

WHAT THE INFORMATION ANNEX WILL BE USED FOR: COMPONENT ONE - A NOTIONAL PLAN FOR ANY NEW OR AMENDED IEES OR EAS THAT OPERATING UNITS EXPECT TO NEED FOR THE COMING YEAR, AND A TIMEFRAME FOR APPROVAL IF KNOWN (PER 22 CFR 216). THIS SERVES AS A MANAGEMENT TOOL FOR THE OPERATING UNIT AND ITS BUREAU ENVIRONMENTAL OFFICER TO PLAN FOR NEEDED WORK, STAFF TIME AND BUDGETS THAT ARE REQUIRED PRIOR TO OBLIGATION OF FUNDS.

COMPONENT TWO - IS A BRIEF STATEMENT OF WHETHER STRATEGIC OBJECTIVES AND RELATED ACTIVITIES ARE IN COMPLIANCE WITH PREVIOUSLY APPROVED INITIAL ENVIRONMENTAL EXAMINATION (IEE), CATEGORICAL EXCLUSION (CE), OR ENVIRONMENTAL ASSESSMENT (EA). THIS WILL BE USED TO IDENTIFY ANY PROBLEM AREAS THAT MAY REQUIRE ADDITIONAL RESOURCES IN ORDER TO BE BROUGHT INTO COMPLIANCE.

SPECIFIC POINTS TO BE ADDRESSED: THE FIRST COMPONENT ON ANTICIPATED DETERMINATIONS FOR NEW ACTIVITIES COULD BE A SHORT NOTIONAL LIST OR TABLE LISTING ANY ANTICIPATED NEW ACTIVITIES OR SETS OF ACTIVITIES THAT MIGHT NEED ENVIRONMENTAL DETERMINATIONS, AS KNOWN AT THE TIME THE ANNEX IS PREPARED. IF THERE ARE NONE ANTICIPATED, PLEASE SO STATE. THE SECOND COMPONENT WILL BE EITHER A SINGLE SENTENCE THAT ALL ACTIVITIES ARE IN COMPLIANCE WITH THEIR CORRESPONDING IEES, CES OR EAS, OR A BRIEF LISTING OF ACTIVITIES (BY SO) THAT ARE NOT CURRENTLY IN COMPLIANCE DESCRIBING WHAT WASHINGTON RESOURCES MAY BE NEEDED TO BRING THE SO INTO COMPLIANCE. NOTE: IF AN ACTIVITY IS NOT

INCOMPLIANCE WITH ITS ENVIRONMENTAL REQUIREMENTS, IT SHOULD NOT BE REPORTED AS BEING SUCCESSFUL IN MEETING ITS OBJECTIVES.

MAXIMUM PAGE LENGTH: 1 PAGE

REQUIREMENT: MANDATORY FOR ALL USAID OPERATING UNITS.

INFORMATION ANNEX TOPIC: UPDATED RESULTS FRAMEWORK

REQUESTED BY: PPC/CDIE/PME

WHAT THE INFORMATION ANNEX WILL BE USED FOR: CDIE MAINTAINS A DATABASE FOR THE AGENCY OF R4 INFORMATION THAT INCLUDES A COMPLETE LISTING OF ALL AGENCY SOS AND IRS BY SECTOR. AGENCY STAFF AND OTHERS FREQUENTLY REQUEST THIS INFORMATION. ITS CONTINUED USEFULNESS IS DEPENDENT ON ASSURANCES THAT IT IS UP-TO-DATE.

SPECIFIC POINTS TO BE ADDRESSED: THIS SHOULD BE A SIMPLE LISTING OF CURRENT SOS AND IRS ORGANIZED TO SHOW THEIR RELATIONSHIP TO EACH OTHER (FOR EXAMPLE, LOWER LEVEL IRS COULD BE INDENTED IMMEDIATELY BELOW HIGHER LEVEL IRS OR THE SO). IF YOU ARE REQUESTING WASHINGTON APPROVAL OF A CHANGE AT THE SO OR IR LEVEL, PLEASE INCLUDE BOTH CURRENT AND PROPOSED NEW LANGUAGE. IF YOU WILL BE CHANGING THE INDICATORS YOU WILL BE REPORTING NEXT YEAR, PLEASE ADD TO THIS ANNEX THE OLD INDICATOR, THE NEW ONE, THE BASELINE AND TARGET FOR THE NEW ONE TO 2002, AND A BRIEF EXPLANATION FOR THE SWITCH.

MAXIMUM PAGE LENGTH: AS NECESSARY.

REQUIREMENT: MANDATORY FOR ALL USAID OPERATING UNITS.

2. MANDATORY FOR SOME OPERATING UNITS ONLY

INFORMATION ANNEX TOPIC: NON-PRESENCE COUNTRIES (NPCS)

REQUESTED BY: M AND PPC

WHAT THE INFORMATION ANNEX WILL BE USED FOR: EVERY NPC PROGRAM WITH DEFINED COUNTRY-LEVEL STRATEGIC OR SPECIAL OBJECTIVES IS SUBJECT TO R4 REPORTING. USAID REGIONAL OFFICES AND BILATERAL MISSIONS WHICH HAVE BEEN ASSIGNED SPECIFIC OVERSIGHT RESPONSIBILITIES BY THEIR REGIONAL BUREAUS FOR NPC PROGRAMS WITH COUNTRY-LEVEL OBJECTIVES, ARE REQUESTED TO PREPARE EITHER A FULL OR ABBREVIATED (CONSULT WITH YOUR BUREAU TO DETERMINE WHICH) R4 SUBMISSION FOR EACH NON-PRESENCE COUNTRY. IN THE CASE OF ABBREVIATED R4 REPORTS, THESE MAY BE INCLUDED AS AN ANNEX TO THE OPERATING UNITS' OWN R4 DOCUMENT (ONE ANNEX PER NPC). MISSIONS WITH BILATERAL OR TWINNING RESPONSIBILITIES FOR TITLE II PROGRAMS ARE ALSO REQUESTED TO SUBMIT A SUPPLEMENTAL ANNEX AS DISCUSSED IN SECTION IV.B.2. ABOVE (STAND-ALONE PROGRAMS). MISSIONS WHO ARE UNABLE TO COMPLY WITH THIS NEW REQUEST SHOULD CONSULT WITH THEIR REGIONAL BUREAU FOR ASSISTANCE. REGIONAL BUREAUS WILL MAKE A FINAL DETERMINATION REGARDING WHICH NPC COUNTRIES WILL BE COVERED THIS YEAR BY ABBREVIATED R4-LIKE SUMMARIES. DUE TO THEIR LINKAGES WITH REGIONAL STATE DEPARTMENT BUREAUS AND THE MPP PROCESS, USAID REGIONAL BUREAUS ARE RESPONSIBLE FOR NPC REPORTING. THEY SHOULD, THEREFORE, CONSIDER POSSIBLE FUTURE REPORTING REQUIREMENTS WHEN APPROVING NPC ACTIVITIES IN THEIR REGION.

SPECIFIC POINTS TO BE ADDRESSED: A PROGRAM OVERVIEW, OUTLINING THE OBJECTIVES BEING PURSUED (WHEN THESE EXIST) AND/OR ACTIVITIES BEING IMPLEMENTED. AN INDICATION OF THE LINKAGES BETWEEN USAID-FUNDED INTERVENTIONS AND THE MPP GOALS FOR THAT COUNTRY. THIS IS AS CRITICAL FOR NPCS AS FOR PRESENCE COUNTRIES. A DISCUSSION OF SIGNIFICANT PROGRAM ACHIEVEMENTS AND HOW THESE ARE CONTRIBUTING TO MPP GOALS. RELATED DATA TABLES FOR INDICATORS AND RESOURCE REQUESTS.

MAXIMUM PAGE LENGTH: 2-4 PAGES

REQUIREMENT: MANDATORY FOR NPCS WITH DEFINED COUNTRY-LEVEL STRATEGIC OR SPECIAL OBJECTIVES.

INFORMATION ANNEX TOPIC: GLOBAL CLIMATE CHANGE

REQUESTED BY: G/ENV FOR ALL REPORTING UNITS ATTRIBUTING RESOURCES TOWARD USAID CLIMATE CHANGE INITIATIVE

WHAT THE INFORMATION ANNEX WILL BE USED FOR: THIS NARRATIVE WILL ENABLE G/ENV TO PREPARE THE ANNUAL REPORT TO CONGRESS AND THE ADMINISTRATION AS REQUIRED UNDER THE USAID CLIMATE CHANGE INITIATIVE.

SPECIFIC POINTS TO BE ADDRESSED: REPORTING UNITS WILL REPORT ON CLIMATE CHANGE ACTIVITIES BY FOLLOWING SPECIAL GUIDANCE THAT INCLUDES INDICATOR TABLES AND A TEMPLATE FOR A SEPARATE NARRATIVE. LAST YEAR THE GUIDANCE WAS PROVIDED

SEPTEL; THIS YEAR THE GUIDANCE WILL BE AVAILABLE ON THE AGENCY R4 WEBSITE, AND THROUGH G/ENV. BOTH THE INDICATOR AND NARRATIVE INFORMATION ARE MANDATORY, AND DISCUSS ACTIVITIES RELATED TO: (1) INCREASING DEVELOPING COUNTRY PARTICIPATION IN THE UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE, (2) DECREASING NET GREENHOUSE GAS EMISSIONS, AND (3) REDUCING DEVELOPING COUNTRY VULNERABILITY TO CLIMATE CHANGE IMPACTS. MAXIMUM PAGE LENGTH: INDICATOR TABLES AND 2-4 PAGES OF NARRATIVE. REQUIREMENT: MANDATORY FOR THOSE MISSIONS AND WASHINGTON-BASED OFFICES ATTRIBUTING RESOURCES TOWARD THE AGENCY GLOBAL CLIMATE CHANGE INITIATIVE.

INFORMATION ANNEX TOPIC: GREATER HORN OF AFRICA INITIATIVE
REQUESTED BY: AFRICA BUREAU

WHAT THE INFORMATION ANNEX WILL BE USED FOR: TO PREPARE THE REQUIRED ANNUAL REPORT ON THE GHAI THAT PERMITS OVERALL ASSESSMENT OF PROGRESS ON THIS PROGRAM. ALL AGENCY OPERATING UNITS IMPLEMENTING GHAI ACTIVITIES (INCLUDING BHR AND G OPERATING UNITS) NEED TO REPORT GHAI STATUS AND ISSUES. SPECIFIC POINTS TO BE ADDRESSED: THOSE OPERATING UNITS WHICH ARE DIRECTLY MANAGING GHAI FUNDS SHOULD REPORT EXPLICITLY ON THE RELEVANT ACTIVITIES AND RESULTS, INCLUDING WHICH GHAI AND OPERATING UNIT INTERMEDIATE RESULT THEY SUPPORT. THE MAIN TEXT OF THE REDSO/ESA R4 WILL CAPTURE GHAI RESULTS SINCE IT MANAGES THE MAJORITY OF GHAI-FUNDED ACTIVITIES. RESULTS NOT CAPTURED IN THE MAIN SO PERFORMANCE R4 NARRATIVE SHOULD BE HIGHLIGHTED IN THE SUPPLEMENTAL GHAI ANNEX.

EXAMPLES: USAID/UGANDA NORTHERN UGANDA FOOD SECURITY (NUFS) ACTIVITY AND WATER HYACINTH ACTIVITY, AND GLOBAL BUREAU'S RINDERPEST ACTIVITY.

OPERATING UNITS WILL ALSO INDICATE HOW/IF THE GHAI "OPERATIONAL FRAMEWORK" IS BEING APPLIED TO THE ACTIVITY THROUGH THE FIVE OPERATING PRINCIPLES -- AFRICAN OWNERSHIP, STRATEGIC COORDINATION, REGIONAL APPROACHES, LINKING RELIEF AND DEVELOPMENT AND PROMOTING STABILITY. FOR EXAMPLE, IF THE ACTIVITY IS CO-FUNDED WITH OTHER DONORS, OTHER USAID OPERATING UNITS, AND/OR OTHER USG AGENCIES, THIS WOULD BE A GOOD EXAMPLE OF "STRATEGIC COORDINATION." OPERATING UNITS CONTRIBUTING TO GHAI RESULTS WITH THEIR OWN RESOURCES, SHOULD REPORT IN THE RELEVANT STRATEGIC OBJECTIVE SECTION OF THE OPERATING UNIT'S R4, WITH A BRIEF RECAP OF THESE RESULTS IN THE ANNEX.

OPERATING UNITS CONTRIBUTING IN OTHER WAYS TO THE OPERATIONAL FRAMEWORK NEED TO REPORT ON SPECIFIC EXAMPLES OF THESE "RESULTS" IN THE ANNEX. A FEW VERY SPECIFIC EXAMPLES OF THE APPLICATION OF THE GHAI PRINCIPLES ARE NEEDED, RATHER THAN GENERALIZED STATEMENTS. BUREAUS ARE REMINDED THAT AFR, G, BHR, M, PPC AND GC OPERATING UNITS, WHILE NOT EASILY CAPTURED THROUGH THE TRADITIONAL RESULTS REPORTING INDICATORS, HAVE MADE NUMEROUS CONTRIBUTIONS. OPERATING UNITS ARE ENCOURAGED TO REPORT IN GREATER SPECIFICITY ON A SMALL NUMBER OF GHAI ACTIVITIES RATHER THAN TO REPORT IN GENERAL, VAGUE LANGUAGE ON A VAST NUMBER OF ACTIVITIES.

MAXIMUM PAGE LENGTH: TWO PAGES

REQUIREMENT: REQUIRED FOR AFRICA BUREAU GHAI BILATERAL MISSIONS AND CENTRAL BUREAUS OPERATING UNITS MANAGING GHAI FUNDS, WORKING TOWARD GHAI CONVERGENCE AND/OR CONTRIBUTING TO THE GHAI OPERATIONAL FRAMEWORK.

INFORMATION ANNEX TOPIC: E&E R4 DETAILED BUDGET INFORMATION

REQUESTED BY: E&E/PCS TO MEET REPORTING REQUIREMENTS OF STATE COORDINATORS OFFICE

WHAT THE INFORMATION ANNEX WILL BE USED FOR: THESE TABLES WILL BE USED BY THE COORDINATORS IN THE BUDGET ALLOCATION PROCESS

SPECIFIC POINTS TO BE ADDRESSED: FOR CEE COUNTRIES, REPORTING WOULD BE AT THE SO, PROJECT, SUBPROJECT/GRANTEE/CONTRACTOR LEVEL. FOR NIS COUNTRIES, REPORTING IS AT THE SO, PROJECT, PROJECT COMPONENT, GRANTEE/CONTRACTOR LEVEL.

MAXIMUM PAGE LENGTH: ONE TABLE PER COUNTRY

REQUIREMENT: THIS SUPPLEMENTAL R4 ANNEX REQUIREMENT IS MANDATORY FOR E&E MISSIONS. IT DOES NOT APPLY TO NON-E&E MISSIONS.

3. VOLUNTARY ANNEX

INFORMATION ANNEX TOPIC: SUCCESS STORIES

REQUESTED BY: LPA AND BUREAUS

WHAT THIS INFORMATION WILL BE USED FOR: SPEECHES, HILL TESTIMONY, PUBLIC RELATIONS.

SPECIFIC POINTS TO BE ADDRESSED: LPA AND THE OPERATING BUREAUS ARE LOOKING FOR SUCCESS STORIES THAT CAN BE TOLD IN HUMAN TERMS FOR USE IN SPEECHES AND PRESS STORIES. AUDIENCES ARE OFTEN MORE IMPRESSED BY STORIES ABOUT OTHER HUMAN BEINGS WHICH CAN BRING MEANING TO STATISTICS AND ABSTRACT IDEAS SUCH AS 'INDICATORS' AND 'INTERMEDIATE RESULTS'. THE IDEA IS TO SHOW THE PEOPLE LEVEL IMPACT OF OUR ASSISTANCE ON THE LIVES OF SPECIFIC INDIVIDUALS. IT IS VERY HELPFUL TO HAVE THE NAMES AND LOCATION OF THE PEOPLE INVOLVED. THE R4 PREPARATION PROCESS PROVIDES A GOOD OPPORTUNITY TO PULL TOGETHER SUCCESS STORIES SO USEFUL IN TESTIMONY AND ELSEWHERE. FOR FURTHER INFORMATION ON WRITING SUCCESS STORIES, CONTACT BARBRA BENNETT IN LPA OR EMAIL YOUR SUCCESS STORY DIRECTLY TO HER WITH A COPY TO YOUR DESK OFFICER AND PROGRAM OFFICE. MAXIMUM PAGE LENGTH: 1 PAGE REQUIREMENT: VOLUNTARY.

III. BUREAU SPECIFIC GUIDANCE

A. AFRICA BUREAU SUPPLEMENTAL GUIDANCE

REDSO/ESA IS RESPONSIBLE FOR REPORTING ON PROGRAMS IN NON-PRESENCE COUNTRIES FOR WHICH IT HAS PROGRAM RESPONSIBILITY: SOMALIA, SUDAN AND BURUNDI. MISSIONS WITH TWINNING RESPONSIBILITIES FOR TITLE II AND III PROGRAMS ARE ALSO REQUESTED TO SUBMIT A SUPPLEMENTAL ANNEX AS DISCUSSED IN SECTION IIG2. ACCORDINGLY, SENEGAL SHOULD REPORT ON THE STAND-ALONE PROGRAMS IN GUINEA BISSAU, GAMBIA, MAURITANIA, AND CAPE VERDE; MALI SHOULD REPORT ON BURKINA FASO, NIGER, CHAD, AND COTE D'IVOIRE. REGIONAL ACTIVITIES IN NON-PRESENCE COUNTRIES SHOULD BE REPORTED UNDER THE APPROPRIATE SOS OF THE OPERATING UNIT RESPONSIBLE FOR RESULTS.

DUE DATE: ALL R4 DOCUMENTS, INCLUDING COMPLETED TABLES, AND GHAI OR NON-PRESENCE COUNTRY ANNEXES AND OTHER REQUIRED ANNEXES (AS INDICATED IN THIS GUIDANCE CABLE) ARE DUE NO LATER THAN COB FRIDAY, MARCH 17, 2000 WITH THE EXCEPTION OF THE FOLLOWING SMALL MISSIONS AND REGIONAL PROGRAMS: ANGOLA, BENIN, CONGO, ERITREA, KENYA, LIBERIA, NAMIBIA, NIGERIA, RWANDA AND ZIMBABWE; AND REDSO/ESA, RCSA, AND AFR/SD. R4S FOR THESE OPERATING UNITS ARE DUE NO LATER THAN COB, FRIDAY, MARCH 31, 2000. AFR/DP WILL INFORM OPERATING UNITS OF ANY CHANGES TO THIS SCHEDULE.

SEND TO: IN ADDITION TO THE ADDRESS INDICATED IN SECTION I.G, ALL R4 DOCUMENTS ARE TO BE ELECTRONICALLY SUBMITTED TO THE COUNTRY DESK OFFICER. ANNEXES ON THE GHAI ACTIVITIES SHOULD ALSO BE SENT DIRECTLY TO LYNNE CRIPE, REDSO/ESA. RESOURCE REQUEST TABLES SHOULD ALSO BE SENT TO ANGELA MCNERNEY AFR/DP/PAB (AND COPIED TO THE CDO) WHERE THEY WILL BE CONSOLIDATED AND USED TO PREPARE THE PROGRAM BUDGET SUBMISSION.

SO NARRATIVES AND PERFORMANCE DATA TABLES (PDT): AFR OPERATING UNITS SHOULD HIGHLIGHT EFFORTS TO INTEGRATE GENDER AND PROMOTE SYNERGIES BETWEEN OBJECTIVES, ESPECIALLY THROUGH INSTITUTION AND CIVIL SOCIETY STRENGTHENING, BROADENING PARTICIPATION AND A FOCUS ON POVERTY REDUCTION AND PEOPLE LEVEL IMPACTS. OPERATING UNITS ARE ENCOURAGED TO REPORT IN THE BODY OF THE R4 UNDER THE RELEVANT SO HOW PROGRAMS ARE ACHIEVING GENDER INTEGRATION, CROSS-SECTORAL SYNERGIES, PARTICIPATION, AFRICAN LEADERSHIP AND OWNERSHIP AS WELL AS CONTRIBUTING TOWARDS PRESIDENTIAL INITIATIVES. AFR NOTES THE CONCERN THAT IT CAN BE HARD TO COMPRESS THE FULL RANGE OF PERFORMANCE RESULTS AND CONTEXT SETTING INTO THE PAGE LIMITS FOR EACH STRATEGIC OR SPECIAL OBJECTIVE. ALTHOUGH AGENCY GUIDANCE SPECIFICALLY LIMITS THE NUMBER OF PAGES AND PDTs, INFORMATIONAL ANNEXES MAY BE SUBMITTED IF A MISSION DECIDES THAT FURTHER SPACE IS NEEDED. WHILE NOT A REQUIREMENT, OPERATING UNITS ARE INVITED TO SUBMIT A FULL SET OF PERFORMANCE DATA TABLES TO BOTH THEIR DESK OFFICER AND AFR/DP/POSE, IF THIS WILL ENHANCE FIELD/WASHINGTON UNDERSTANDING OF THEIR RESULTS.

ALTERNATIVE FY 2001 BUDGET REQUEST: AFR MISSIONS AND OPERATING UNITS MAY SUBMIT AN ALTERNATIVE PROGRAM BUDGET REQUEST TABLE FOR FY 2001 WHICH PRESENTS REQUESTED CHANGES FROM THE PUBLISHED FY 2001 CP LEVELS. HOWEVER, ANY ALTERNATIVE SUBMISSION MUST ALSO CONTAIN A BUDGET TABLE SHOWING THE PUBLISHED FY 2001 CP BASE REQUEST.

WASHINGTON REVIEW PROCESS: AFR/DP AND AFR/SD ARE PROPOSING A MAJOR CHANGE IN THE REVIEW OF AFR'S R4S. NEXT SPRING'S REVIEWS OF THE FY 2002 R4S MAY BE ORGANIZED AROUND USAID'S SIX STRATEGIC GOAL AREAS. FOR EXAMPLE, ALL AFR DG GOAL AREA STRATEGIC OBJECTIVES WOULD BE REVIEWED AT ONE TIME WITH A FOCUS ON HOW WELL OPERATING UNITS ARE IMPLEMENTING DG OBJECTIVES INCLUDING PROGRESS, PROBLEMS, ISSUES, AND LESSONS LEARNED. MEETINGS ORGANIZED BY SECTOR/GOAL AREA WILL BRING OUR TECHNICAL PEOPLE TOGETHER WITH G, BHR, AND PPC ADVISORS CONCERNED WITH THAT SECTOR, PROVIDE VALUABLE FEEDBACK TO TECHNICAL TEAMS IN THE FIELD AND HELP STRENGTHEN THE AFR PROGRAM BUDGET SUBMISSION. AFR GEOGRAPHIC OFFICES WILL FOLLOW-UP WITH MEETINGS TO DISCUSS OPERATIONAL ISSUES, SUCH AS CORE SERVICES, OE, STAFFING, AND SECURITY, AS MAY BE RAISED IN THE R4 MANAGEMENT COVER LETTERS. IN BOTH THE SECTOR AND OPERATIONAL MEETINGS, AFR WILL ANALYZE AND SYNTHESIZE THE ISSUES THAT CUT ACROSS OPERATING UNITS AND SECTOR OR GOAL AREAS AND FEED THIS BACK TO MISSIONS.

QUESTIONS: ALL QUESTIONS WITH REGARD TO THE AFR R4, STRATEGIC PLANNING AND PERFORMANCE ASSESSMENT PROCESSES SHOULD BE DIRECTED TO PETER DELP, AFR/DP/POSE. THE POSE STRATEGIC PLANNING AND ASSESSMENT TEAM WILL BACKSTOP QUERIES AS FOLLOWS: SOUTHERN AFRICA -- KATHIE KEEL; EAST AFRICA -- RUTH BUCKLEY; WEST AFRICA -- CURT GRIMM AND SHARON PAULING (NIGERIA AND LIBERIA). QUESTIONS REGARDING FOOD FOR PEACE, TITLE II AND III REPORTING SHOULD BE DIRECTED TO NANCY MCKAY AFR/DP/PFP. QUESTIONS REGARDING THE GHAI ANNEX SHOULD BE DIRECTED TO LYNNE CRIPE, REDSO/ESA, AND COPIED TO RUTH BUCKLEY, AFR/DP/POSE. QUESTIONS REGARDING THE COMPLETION AND SUBMISSION OF THE RESOURCE TABLES SHOULD BE REFERRED TO ANGELA MCNERNEY, AFR/DP/PAB. ANY QUESTIONS REGARDING THE COMPLETION AND SUBMISSION OF THE WORKFORCE OR OE TABLES SHOULD BE REFERRED TO JOHN WINFIELD, AFR/AMS AND HARRY DORCUS OR THOMAS WILLIAMS, AFR/DP/OEFM. FOR THE MANDATORY GCC ANNEX, PLEASE CONTACT JIM GRAHAM, AFR/SD FOR THE LIST OF GCC PRIORITY COUNTRIES.

B. ASIA NEAR EAST BUREAU SPECIFIC GUIDANCE

THE ANE BUREAU REQUESTS ITS OPERATING UNITS COMPLETE A SEPARATE BUDGET THRESHOLD ANALYSIS, WHICH SHOULD BE SUBMITTED DIRECTLY TO THE BUREAU VIA EMAIL. INFORMATION IS USED FOR PREPARING BUDGET RECLAMAS AS NEEDED IN THE COURSE OF THE YEAR.

LAST YEAR, ANE ENCOURAGED REPORTING FROM PROGRAMS THAT INTENTIONALLY LINKED TWO OR MORE GOAL AREAS TOGETHER SO THAT THEIR EXPECTED RESULTS WERE INTERDEPENDENT. ANE ALSO ENCOURAGED POSTS TO WEAVE INTO OVERVIEW AND SO NARRATIVES A DISCUSSION OF OVER-ARCHING ISSUES THAT ARE IMPORTANT TO THE BUREAU AND THE AGENCY, SUCH AS PARTICIPATION, DEVELOPMENT PARTNERING, HOST COUNTRY LEADERSHIP, CAPACITY-BUILDING, GENDER, OR HOW THE PROGRAM IS CONSISTENT WITH US NATIONAL INTERESTS. WE WERE VERY PLEASED WHEN WE SAW THIS KIND OF REPORTING BECAUSE IT ADDS TO OUR KNOWLEDGE OF HOW PROGRAMS CAN BE EFFECTIVELY INTEGRATED. WE WOULD LIKE POSTS TO CONTINUE THIS KIND OF REPORTING IN THIS YEAR'S R4S. AS RESOURCES GET TIGHTER AND OUR PROGRAMMATIC RESPONSIBILITIES INCREASE, WE WILL HAVE TO CONTINUE RE-TOOLING STRATEGIES, INTEGRATING DG AND EG ACTIVITIES INTO OTHER GOAL AREAS, RELYING ON COLLABORATION WITH PARTNERS, AND SO ON. WE WILL CONTINUE TO RELY ON POSTS' EXPERIENCES IN THESE AREAS AS WE SET PARAMETERS FOR FUTURE STRATEGIC CHANGES.

FINALLY, POSTS WITH GENERAL QUESTIONS ABOUT R4 PREPARATION SHOULD DIRECT THEM TO DAVID ROBINSON, ANE/SEA/RPM. QUESTIONS ABOUT RESOURCES (FUNDS OR WORKFORCE) SHOULD BE SENT TO MARY LEWELLEN, ANE/ORA.

C. EUROPE EURASIA BUREAU SPECIFIC GUIDANCE

1. CHANGES IN THE MANAGEMENT CONTRACT

THE EE BUREAU PROVIDED INFORMATION ON WHAT CONSTITUTES CHANGES IN THE MANAGEMENT CONTRACT IN ITS SEPTEMBER 1, 1998 GUIDANCE ON STRATEGIC PLANS. THAT GUIDANCE IS STILL RELEVANT. CHANGES IN THE MANAGEMENT CONTRACT INCLUDE: ADDITION OR DELETION OF A STRATEGIC OBJECTIVE; SIGNIFICANT CHANGE IN THE LEVEL OF IMPACT (INTENDED RESULT) SPECIFIED FOR THE STRATEGIC OBJECTIVE; SIGNIFICANT CHANGE IN THE INDICATORS OR TARGETS FOR THE SO AND/OR PRINCIPAL IRS (THE PRINCIPAL IRS IN OUR VIEW ARE THOSE AT THE LEVEL JUST BELOW THE SO); SIGNIFICANT CHANGE IN RESOURCE EXPECTATIONS AFFECTING PLAN FEASIBILITY. EE MISSIONS PLANNING TO MAKE CHANGES OF THIS MAGNITUDE SHOULD NOTE THIS IN THE R4 COVER MEMO AND REQUEST APPROVAL OF A CHANGE IN THE MANAGEMENT CONTRACT.

2. SPECIAL INITIATIVES

REPORT PROGRESS AND RESOURCE REQUIREMENTS FOR SPECIAL INITIATIVES SHOWN UNDER SO 4.1. FOR EACH SUCH SPECIAL INITIATIVE, EE OPERATING UNITS ARE REQUESTED TO BRIEFLY REPORT PROGRESS IN A NARRATIVE AND AGAINST AT LEAST ONE INDICATOR, INCLUDING FUTURE TARGETS FOR THAT INDICATOR, AND TO IDENTIFY FUTURE RESOURCE NEEDS.

3. AS MENTIONED IN THE GUIDANCE, PLEASE FORMAT YOUR SUBMISSIONS SO THEY PRINT ON 8_ BY 11 PAPER. UTILIZING THE EUROPEAN PAPER LENGTHS CAUSES THE PRINTERS IN USAID/W TO STOP AND REQUIRES MANUAL RESTARTING, GREATLY IMPEDING DISTRIBUTION.

4. THIS GUIDANCE REQUIRES THAT THE COVER PAGE OF THE R4 CONTAIN LANGUAGE IDENTIFYING (PRIMARILY FOR THOSE OUTSIDE USAID) THE WASHINGTON CONTACT PERSON FOR EACH R4 AND THE DISTRIBUTING OFFICE. FOR EUROPE R4S THAT PERSON IS CLINTON DOGGETT. FOR EURASIA R4S THE PERSON IS STEVE HAYKIN. IN BOTH CASES THE OFFICE IS EE/PCS.

5. THE MISSION CONTACT POINT IN EE/W FOR INFORMATION ON R4S IS JEFF EVANS IN EE/PCS. HOWEVER, PROGRAM BUDGET QUESTIONS SHOULD BE DIRECTED TO BETSY CARTER (FOR EUROPE) OR BOB HUDEC (FOR EURASIA), EE/PCS, AND OE QUESTIONS SHOULD BE DIRECTED TO MARIO ROCHA OR AUDREY DOMAN, EE/OM.

6. SUBMISSION DATES AND ADDRESSEE

EE WILL ADVISE SEPARATELY THE DUE DATES FOR EACH MISSION'S R4 OR R2. ALL R4S OR R2S SHOULD BE SUBMITTED TO JEFF EVANS, EE/PCS WITH EUROPE R4S/R2S ALSO SUBMITTED TO CLINTON DOGGETT AND EURASIA R4S ALSO SUBMITTED TO STEVE HAYKIN.

D. LATIN AMERICA AND CARIBBEAN BUREAU SPECIFIC GUIDANCE

WHERE AND WHAT TO SUBMIT: PLEASE SUBMIT THE FULL R4 (IN HARD COPY AND ELECTRONICALLY) TO LAC/SPM (JEANNIE BASSETT WITH COPIES TO YOUR RESPECTIVE SPM BACKSTOP OFFICER) BY MARCH 15. THE BUREAU HAS NOT DECIDED WHICH PROGRAMS WILL UNDERGO INTENSIVE PORTFOLIO REVIEWS. WHEN A DECISION HAS BEEN MADE, AFFECTED MISSIONS WILL BE ADVISED.

E. G BUREAU SUPPLEMENTAL GUIDANCE

GLOBAL BUREAU (G) CENTERS AND G/WID WILL BE EXPECTED TO HIGHLIGHT IN THE R4 PROGRAMMATIC ADJUSTMENTS MADE IN THE MANAGEMENT OF ACTIVITIES DURING THE REPORTING PERIOD. TECHNICAL LEADERSHIP, FIELD SUPPORT AND DIRECT DEVELOPMENT IMPACT SHOULD AGAIN BE HIGHLIGHTED THIS YEAR. G CENTERS/WID WILL BE REQUIRED TO IDENTIFY AT LEAST ONE - AREA FOR IMPROVEMENT - IN THE R4. ALSO, INCREASED ATTENTION WILL BE FOCUSED ON PROGRESS AT THE IR LEVEL. IN ADDITION, G/PDSP WILL BE PROVIDING THE CENTERS/WID WITH A FINANCIAL TABLE TO BE COMPLETED AND INCLUDED IN THE R4. TO BETTER ASSESS THE CENTRAL FUNCTIONS AND BREADTH OF FINANCIAL MANAGEMENT OF G CENTERS/WID, THE TABLE WILL COVER THE RANGE OF FINANCIAL RESOURCES, SUCH AS CORE (TOTAL OYB), FIELD SUPPORT, BUY-INS, OYB TRANSFERS, AND OTHER PROCUREMENT ACTIONS (TASK ORDERS, MAARDS, IQCS, LEADER/ASSOCIATE, ETC.).

F. BHR

BHR OPERATING UNITS WILL STRIVE TO MEET THE AGENCY'S R4 SUBMISSION DATE.
BHR/PPE WILL ESTABLISH SUBMISSION DUE DATES WITH RESPECTIVE OPERATING UNITS.

IV. WASHINGTON REVIEW OF R4S

THE THREE NON-PERFORMANCE FACTORS THAT INFORM THE BUDGET PROCESS--NEED, COUNTRY COMMITMENT, AND FOREIGN POLICY--WILL CONTINUE TO INFORM BUDGET ALLOCATION DECISIONS, BUT NO ATTEMPT WILL BE MADE TO CONVERT THESE INTO NUMERICAL SCORES. PPC AND THE REGIONAL BUREAUS WILL PROVIDE INFORMATION ON NON-PERFORMANCE FACTORS. A SUMMARY TABLE WILL BE PREPARED BY EACH BUREAU SHOWING FOR EACH SO THE FINAL PERFORMANCE SUMMARY AND THE THREE NON-PERFORMANCE CATEGORIZATIONS. NO EFFORT WILL BE MADE TO CREATE A COMPOSITE SUMMARY SCORE INCORPORATING ALL FACTORS. THE SUMMARY TABLE WILL BE USED BY BUREAUS AS A STARTING POINT FOR RESOURCE ALLOCATION DECISIONS.

IN THE SHORT-TERM (ONE-TO-TWO YEARS), DIFFICULTIES IN ACHIEVING EXPECTED PROGRESS ON A PARTICULAR SO SHOULD RESULT IN INCREASED MANAGEMENT ATTENTION AT BOTH MISSION AND WASHINGTON LEVELS. IF, AFTER REASONABLE EFFORTS, PROGRESS IS NOT IMPROVED, THEN IT FOLLOWS THAT THE BUDGET PLANNED FOR THAT SO MAY BE REDUCED, TEMPORARILY SUSPENDED, OR EVEN REALLOCATED COMPLETELY AND THE SO TERMINATED OR SIGNIFICANTLY REDESIGNED. SUCH DECISIONS WILL BE ARRIVED AT COLLABORATIVELY BY OPERATING UNIT AND BUREAU/WASHINGTON MANAGEMENT.

OBJECTIVES WHOSE PERFORMANCE SIGNIFICANTLY EXCEEDS EXPECTATIONS WILL LIKELY RECEIVE SPECIAL ATTENTION IN AGENCY ANNUAL PERFORMANCE REPORTS (APR). HIGH PERFORMANCE WILL NOT NECESSARILY JUSTIFY A CLAIM FOR ADDITIONAL RESOURCES BEYOND THAT NEEDED TO ACHIEVE AGREED UPON RESULTS.

MANAGEMENT CONTRACT CABLES WILL BE PREPARED ONLY WHEN THERE ARE SPECIFIC CHANGES TO THE MANAGEMENT CONTRACT INITIATED WITH APPROVAL OF THE COUNTRY (OR UNIT) STRATEGIC PLAN.

CHANGE TO WASHINGTON REVIEW PROCESS: WASHINGTON WILL REVIEW AND RESPOND TO ISSUES RAISED IN THE COVER MEMO AND TO THE R4 ITSELF WITHIN FOUR WEEKS OF REVIEW OF THE R4 DOCUMENT UNLESS OTHER ARRANGEMENTS ARE WORKED OUT WITH THE OPERATING UNIT.

V. MINIMIZE CONSIDERED FOR ASMARA, DAR ES SALAAM, NAIROBI, KINSHASA, AND TIRANA.

AID/GC:PRAMSEY(CLEARED IN DRAFT)
AID/S/RPP:JDEHMLow(CLEARED IN TDRAFT)
AID/EE:PMATHESON [CLEARED IN DRAFT]

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